

AREA MANAGEMENT EVALUATION**OFFICE MANAGEMENT**

CHP 453E (Rev. 5-06) OPI 009

AREA Newhall	DIVISION Southern Division	NUMBER 540
EVALUATED BY Officer B.T. Waughan #17299		DATE 07/22/2008

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION <input checked="" type="checkbox"/> Formal Evaluation <input type="checkbox"/> Informal Evaluation		SUSPENSE DATE	
FOLLOW-UP REQUIRED <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Correction Report BY _____	COMMANDER'S REVIEW DATE
1. CLERICAL TASKS		EVALUATED YES	ACTION REQUIRED NO
			CORRECTED N/A
a. Is the office well organized?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Are there written job descriptions?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Does clerical staff have their job description at their desk?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Does clerical staff understand what is expected of them?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Are similar activities grouped together to promote efficiency?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) If tape recorders are used, can clerical employees transcribe effectively?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(4) Is the clerical staff knowledgeable in the use of personal computers, filing requirements, information security, etc.?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(5) Can another clerical employee assume the duties of a clerical employee who is absent?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
b. Is the Office Services Supervisor (OSS) effective?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Does he/she properly apply management philosophies and supervisory skills?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Does he/she have the authority and backing necessary to effectively supervise subordinates?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Is the clerical supervisor an effective manager?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Does the OSS identify employees with supervisory potential?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Does he/she assist employees in the preparation of written plans for progressive career development?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Have special interests been identified and educational opportunities and/or departmental training been afforded the employees?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Has the CHP 120, Individual Development Plan for Future Job Performance of Permanent Employee, been used to identify particular strengths of the employees?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Does the supervisor set a good example?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Does he/she show a willingness to assist subordinate personnel?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Does he/she know when to act, when to delegate, and when to refer to a supervisor?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(4) If there is more than one OSS, is the work and supervision evenly distributed?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(5) Does the OSS participate in Area staff meetings?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

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FILING SYSTEM	EVALUATED YES	ACTION REQUIRED NO	CORRECTED N/A
a. Is the Area's filing system in compliance with departmental guidelines contained in HPG 11.1, Field Office File Guide?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
b. Are other files, i.e., permanent files, enforcement document files, etc., maintained according to policy?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) How far back are accident reports being maintained? FOUR YEARS			
(2) Is there a filing backlog?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(3) Is there evidence of recent office review?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(4) How are Management and All Commanders Memorandums filed and purged? CLERICAL FILES THE MEMORANDUMS IN THE OSS I OFFICE. SGT'S FILE COMMANDERS MEMORANDUM IN SGT'S OFFICE.			
(5) Are Training and Information Bulletins filed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) If so, how are they located? IN OSS I OFFICE			
(6) Do all clerical employees understand the filing system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(7) Does the Area have an effective suspense system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Do all supervisors take advantage of the suspense system?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
c. Are personnel files properly secured and access limited?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Are the requirements of the Information Practices Act being followed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Is a periodic review done on a regular basis?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) If so, how often? QUARTERLY AND AS NEEDED.			
(3) Is annual employee review and updating conducted as required?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) Are only required or permitted items contained in personnel folders?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
3. SECURITY OF CRIMINAL RECORDS	EVALUATED YES	ACTION REQUIRED NO	CORRECTED N/A
a. Have employees who have access to criminal offender record information signed an acknowledgment stating they understand the regulations and policies pertaining to these records?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Has the Area designated a specific person to release criminal offender record information?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Do any other persons release this information?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(b) Has the designated person completed the required training?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(c) Are safeguards in place to verify telephone inquiries prior to disclosure?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Does each person that is designated to release information maintain a CHP 263B, Criminal Offender Record Information Release Log?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Are entries maintained for the prescribed period of time?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
FISCAL PROCEDURES	EVALUATED YES	ACTION REQUIRED NO	CORRECTED N/A
a. Have discrepancies on the most current audit reports been corrected?			<input type="checkbox"/> Yes <input type="checkbox"/> No
N/A AUDIT NOT COMPLETED			

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(1) Are all change fund and collections handled and processed according to policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is there a separation of duties between cashier responsibilities and transmittal of collections?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are collections and change funds safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are checks promptly endorsed and cash receipts reconciled daily?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(f) Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(g) What specific guidelines are in place for security control and accountability?	OFFICE ASSISTANT (OA) OR WORD PROCESSOR (WP) COUNT THE MONEY DAILY AND TRANSMITTALS DONE WEEKLY.	
(h) Is a supervisor responsible for review of the system?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(i) Do total collections agree with the total amount of counter receipts and DL45s issued?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(j) Are counter receipts and transmittal records prepared properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(k) Are surprise counts of funds performed and documented by the commander or designee?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Are security and accountability procedures in place for the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Is the petty cash fund used only for authorized purchases within the limited amount?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are valid authorizations on file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are there adequate procedures to ensure purchases are properly authorized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are surprise counts performed by someone not involved in handling the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Are X-Number services proper and within departmental and state policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are services procured over \$4,999.99?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(b) Is the amount limit circumvented by splitting procurements?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 78X, X-Number Request?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Do invoices itemize charges and reference X-Numbers?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(4) Are bank cards adequately safeguarded, and purchases reviewed by a supervisor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are cardholders familiar with the bank card process, including prohibited and restricted items?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are purchases within established policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 315X?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(d) Is the bank card log completed properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

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(e) Are invoices and CHP 317, CAL-Card Log, reviewed by a supervisor?

☒ Yes ☐ No

(f) Is there a reconciliation of the monthly bank card statement, and does it have supervisory approval?

☒ Yes ☐ No

b. What controls does the commander have in place to ensure timely transmittals of monies?

COMMANDER SIGNS AND

REVIEWS THE TRANSMITTALS.

(1) Are collections sent to Fiscal Management Section at the first occurrence of \$1,000 in cash and \$10,000 total collections, or at the close of business each Thursday?

☒ Yes ☐ No

(2) Are monies received for DL45s, California Special Driver's Certificate, asset forfeiture, reimbursables, evidence, etc., handled appropriately by coordinating transmittal with the Area cashier?

☒ Yes ☐ No

(3) Are "no collection" transmittals sent when appropriate?

☒ Yes ☐ No

(4) Do tire sale transactions comply with policy?

☒ Yes ☐ No

c. Is security of the postage machine adequate?

☒ Yes ☐ No

(1) Is the machine locked when not in use?

☒ Yes ☐ No

(2) Is the meter reading documented as required?

☐ Yes ☐ No

(3) Is there documentation of monies refunded or forwarded to Fiscal Management Section when the postage machine is being repaired or replaced?

☐ Yes ☐ No

F SUPPLY REQUISITIONS (CHP 41)

EVALUATED
YES

ACTION REQUIRED
NO

CORRECTED
N/A

a. Are requisitions prepared properly?

☒ Yes ☐ No

(1) Who prepares them? O/A

(2) Has a practical stock level been established and maintained?

☒ Yes ☐ No

(3) Is there a system that notifies the staff when the quarterly requisition is going to be prepared?

☒ Yes ☐ No

(a) Is the quarterly requisition period for this command adhered to?

☒ Yes ☐ No

(b) Is there a high number of emergency requisitions?

☐ Yes ☒ No

b. Are items stored properly in a storeroom?

☒ Yes ☐ No

(1) Is there convenient access for regularly used items?

☒ Yes ☐ No

(2) Have obsolete items been removed?

☒ Yes ☐ No

6. SUPPLIES

EVALUATED
YES

ACTION REQUIRED
NO

CORRECTED
N/A

a. Are all cameras assigned to the command accounted for?

☒ Yes ☐ No

(1) Are camera cases clean and do they contain the required accessories?

☒ Yes ☐ No

(2) Is camera maintenance assigned to a particular individual?

☒ Yes ☐ No

(a) What is his/her preventative maintenance schedule? AS NEEDED BASIS.

b. Are all extenders assigned to the command accounted for?

☒ Yes ☐ No

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		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
7. OFFICE EQUIPMENT	EVALUATED YES	ACTION REQUIRED NO	CORRECTED N/A
(1) Is there adequate security for extender batteries and other supplies?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
a. Are office machines in good condition and properly maintained?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Is the vendor complying with maintenance contract provisions?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Is there a shortage or surplus of machines?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
b. Is the Management Information System (MIS) used properly?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Who is authorized to use the equipment?	ALL CLERICAL.		
(2) How is training provided, and by whom?	TRAINING PROVIDED TO NEW EMPLOYEES AND BY OSS I.		
(3) Is there a usage schedule for uniformed and nonuniformed personnel?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(4) Are there controls in place to ensure confidentiality?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(5) Are all personnel aware of how to request repairs after normal business hours?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(6) Is the MIS used to send messages to other offices in lieu of formal memorandums?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(7) What system is used to ensure proper routing of MIS information?	PROPER TRAINING		
Are personal computers used properly?			<input type="checkbox"/> Yes <input type="checkbox"/> No
(1) Who is authorized to use the equipment?			
(2) How is training provided, and by whom?			
(a) How many employees are trained in its use?			
(3) Are there restrictions on the time its used?			<input type="checkbox"/> Yes <input type="checkbox"/> No
(a) Is there a schedule for uniformed and nonuniformed employees?			<input type="checkbox"/> Yes <input type="checkbox"/> No
(4) Is confidential or sensitive information being stored on a PC hard drive?			<input type="checkbox"/> Yes <input type="checkbox"/> No
(a) If so, is the PC password protected?			<input type="checkbox"/> Yes <input type="checkbox"/> No
(b) Is confidential or sensitive information stored on disks, CDs, or removable drives kept in a secure area?			<input type="checkbox"/> Yes <input type="checkbox"/> No
(5) What is the PC being used for?			
(6) Are controls present to prevent inappropriate/personal use of the computer?			<input type="checkbox"/> Yes <input type="checkbox"/> No

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(7) Are backup procedures being performed on a regular basis?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Where applicable, are backup disks stored in a secure area?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(8) Are PC manuals and other documentation available to all users?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(9) What procedures are in place to ensure out-of-date documents and files are purged?	ANNUALLY REVIEW AND OLD DOCUMENTS PURGED ANNUALLY.	

(10) Are employees aware of the availability of assistance in resolving computer related problems?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(11) Is anti-virus software regularly utilized on all state-owned PCs?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

8. PUBLIC CONTACTS	EVALUATED YES	ACTION REQUIRED NO	CORRECTED N/A
a. Does the office have extended office hours?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) If so, are they adequate and effective?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
b. Are persons served promptly and courteously?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Are backup personnel immediately available?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Is telephone service both efficient and effective?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(3) Are limited duty personnel used for receptionist duties and answering telephones?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) Are officer substitutions for nonuniformed positions kept at a minimum?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

9. SCHOOL BUS DRIVER EXAMINATIONS	EVALUATED YES	ACTION REQUIRED NO	CORRECTED N/A
a. Is school bus driver testing a special duty or a clerical function, or is a full-time school bus coordinator assigned? SCHOOL BUS OFFICER.			
(1) Are tests and test keys kept in a secure place?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) How are interested parties advised of testing procedures?			BY SCHOOL BUS COMPANIES.

(a) Are exams graded in the presence of the applicant, and missed questions discussed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Does the officer or coordinator take possession of the test and dispose of accordingly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) How are test disposed of?	SHREDDED.	

(4) Is there a specific date and time set aside for testing?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
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COURT INFORMATION PROCEDURES	EVALUATED YES	ACTION REQUIRED NO	CORRECTED N/A
a. Is there a systematic method of coordinating court appearance matters?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

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(1) What controls are in place to ensure officers appear in court? SUBPOENA LOG, AND SUBPOENAS ARE SENT TO
SGT'S.

(a) How are appearances minimized following cancellations? SUBPOENA CLERK WILL NOTIFY OFFICER AND SGT.

(b) How are "short notice" cancellations minimized? SAME AS ABOVE PLUS TELEPHONE CALLS TO OFFICERS.

(2) Are CHP 90s, Report of Court Appearance - Civil Action, properly distributed and completed on all appropriate cases? ☒ Yes ☐ No

(3) Who is responsible for managing the process? OFFICE ASSISTANT (OA).

(a) Are court officers performing duties that could be handled by clerical personnel? ☐ Yes ☒ No

11. DEPARTMENTAL MANUALS

EVALUATED
YES

ACTION REQUIRED
NO

CORRECTED
N/A

a. Are the number of authorized libraries being maintained? ☒ Yes ☐ No

(1) Are the libraries convenient for those who must use them? ☒ Yes ☐ No

(a) What controls are in place for "loaning" manuals to employees? SIGN OUT CARDS ARE USED.

(2) Are publications distinctively marked so they can be readily identified? ☒ Yes ☐ No

(a) Are the number of libraries excessive or sufficient? SUFFICIENT.

(b) Is there a listing available of what should be in each library? ☒ Yes ☐ No

(3) Are publications kept up-to-date? ☒ Yes ☐ No

(4) Who files publication changes? O/A.

AREA MANAGEMENT EVALUATION

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CHP 453E (Rev. 5-06) OPI 009

AREA LACC	DIVISION Southern Division	NUMBER 514
EVALUATED BY Officer B.T. Vaughan		DATE 07/17/2008

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION <input checked="" type="checkbox"/> Formal Evaluation <input type="checkbox"/> Informal Evaluation		SUSPENSE DATE	
FOLLOW-UP REQUIRED <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		BY	
<input type="checkbox"/> Correction Report		COMMANDER'S REVIEW	DATE
1. CLERICAL TASKS		EVALUATED YES	ACTION REQUIRED NO
		CORRECTED N/A	

a. Is the office well organized?

☒ Yes ☐ No

(1) Are there written job descriptions?

☒ Yes ☐ No

(a) Does clerical staff have their job description at their desk?

☒ Yes ☐ No

(b) Does clerical staff understand what is expected of them?

☒ Yes ☐ No

(2) Are similar activities grouped together to promote efficiency?

☒ Yes ☐ No

(3) If tape recorders are used, can clerical employees transcribe effectively?

☒ Yes ☐ No

(4) Is the clerical staff knowledgeable in the use of personal computers, filing requirements, information security, etc.?

☒ Yes ☐ No

(5) Can another clerical employee assume the duties of a clerical employee who is absent?

☒ Yes ☐ No

b. Is the Office Services Supervisor (OSS) effective?

☒ Yes ☐ No

(1) Does he/she properly apply management philosophies and supervisory skills?

☒ Yes ☐ No

(a) Does he/she have the authority and backing necessary to effectively supervise subordinates?

☒ Yes ☐ No

(b) Is the clerical supervisor an effective manager?

☒ Yes ☐ No

(2) Does the OSS identify employees with supervisory potential?

☒ Yes ☐ No

(a) Does he/she assist employees in the preparation of written plans for progressive career development?

☒ Yes ☐ No

(b) Have special interests been identified and educational opportunities and/or departmental training been afforded the employees?

☒ Yes ☐ No

(c) Has the CHP 120, Individual Development Plan for Future Job Performance of Permanent Employee, been used to identify particular strengths of the employees?

☒ Yes ☐ No

(3) Does the supervisor set a good example?

☒ Yes ☐ No

(a) Does he/she show a willingness to assist subordinate personnel?

☒ Yes ☐ No

(b) Does he/she know when to act, when to delegate, and when to refer to a supervisor?

☒ Yes ☐ No

(4) If there is more than one OSS, is the work and supervision evenly distributed?

N/A

☐ Yes ☐ No

(5) Does the OSS participate in Area staff meetings?

☒ Yes ☐ No

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FILING SYSTEM	EVALUATED YES	ACTION REQUIRED NO	CORRECTED N/A
a. Is the Area's filing system in compliance with departmental guidelines contained in HPG 11.1, Field Office File Guide?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Are other files, i.e., permanent files, enforcement document files, etc., maintained according to policy?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(1) How far back are accident reports being maintained?	N/A		
(2) Is there a filing backlog?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
(3) Is there evidence of recent office review?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(4) How are Management and All Commanders Memorandums filed and purged?	MM'S ARE ACCESSIBLE VIA THE CHP INTRANET AND ARE FILED IN THE AREAS COMMAND LIBRARY.		
(5) Are Training and Information Bulletins filed?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(a) If so, how are they located?	THE NECESSARY INFORMATION IS FILED WITH BRIEFING ITEMS WHEN APPLICABLE		
(6) Do all clerical employees understand the filing system?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(7) Does the Area have an effective suspense system?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(a) Do all supervisors take advantage of the suspense system?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
c. Are personnel files properly secured and access limited?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(1) Are the requirements of the Information Practices Act being followed?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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(a) If so, how often?	ANNUAL REVIEW		
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(4) Are only required or permitted items contained in personnel folders?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. SECURITY OF CRIMINAL RECORDS	EVALUATED YES	ACTION REQUIRED NO	CORRECTED N/A
a. Have employees who have access to criminal offender record information signed an acknowledgment stating they understand the regulations and policies pertaining to these records?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(1) Has the Area designated a specific person to release criminal offender record information?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(a) Do any other persons release this information?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(b) Has the designated person completed the required training?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(c) Are safeguards in place to verify telephone inquiries prior to disclosure?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(2) Does each person that is designated to release information maintain a CHP 263B, Criminal Offender Record Information Release Log?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(a) Are entries maintained for the prescribed period of time?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
DISCREPANCY PROCEDURES	EVALUATED YES	ACTION REQUIRED NO	CORRECTED N/A
a. Have discrepancies on the most current audit reports been corrected?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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(1) Are all change fund and collections handled and processed according to policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded? <i>N/A</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section? <i>N/A</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is there a separation of duties between cashier responsibilities and transmittal of collections?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are collections and change funds safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are checks promptly endorsed and cash receipts reconciled daily?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(f) Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion? <i>N/A</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(g) What specific guidelines are in place for security control and accountability? <i>N/A</i>		
(h) Is a supervisor responsible for review of the system?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(i) Do total collections agree with the total amount of counter receipts and DL45s issued? <i>N/A</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(j) Are counter receipts and transmittal records prepared properly? <i>N/A</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(k) Are surprise counts of funds performed and documented by the commander or designee?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Are security and accountability procedures in place for the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Is the petty cash fund used only for authorized purchases within the limited amount?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are valid authorizations on file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased? <i>N/A</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are there adequate procedures to ensure purchases are properly authorized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are surprise counts performed by someone not involved in handling the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Are X-Number services proper and within departmental and state policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are services procured over \$4,999.99?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(b) Is the amount limit circumvented by splitting procurements?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 78X, X-Number Request?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Do invoices itemize charges and reference X-Numbers?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(4) Are bank cards adequately safeguarded, and purchases reviewed by a supervisor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are cardholders familiar with the bank card process, including prohibited and restricted items?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are purchases within established policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 315X?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Is the bank card log completed properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

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(e) Are invoices and CHP 317, CAL-Card Log, reviewed by a supervisor?

☒ Yes ☐ No

(f) Is there a reconciliation of the monthly bank card statement, and does it have supervisory approval?

☒ Yes ☐ No

b. What controls does the commander have in place to ensure timely transmittals of monies?

CAPTAIN WEEKLY CHECKS

WITH PSDSII TO MAKE SURE OSS I IS TAKING CARE OF IT.

(1) Are collections sent to Fiscal Management Section at the first occurrence of \$1,000 in cash and \$10,000 total collections, or at the close of business each Thursday?

☒ Yes ☐ No

(2) Are monies received for DL45s, California Special Driver's Certificate, asset forfeiture, reimbursables, evidence, etc., handled appropriately by coordinating transmittal with the Area cashier?

☐ Yes ☐ No

(3) Are "no collection" transmittals sent when appropriate?

☒ Yes ☐ No

(4) Do tire sale transactions comply with policy?

☐ Yes ☐ No

c. Is security of the postage machine adequate?

☒ Yes ☐ No

(1) Is the machine locked when not in use?

☒ Yes ☐ No

(2) Is the meter reading documented as required?

☒ Yes ☐ No

(3) Is there documentation of monies refunded or forwarded to Fiscal Management Section when the postage machine is being repaired or replaced?

☐ Yes ☐ No

N/A - NO PROBLEMS ENCOUNTERED

5. SUPPLY REQUISITIONS (CHP 41)

EVALUATED
YES

ACTION REQUIRED
NO

CORRECTED
N/A

a. Are requisitions prepared properly?

☒ Yes ☐ No

(1) Who prepares them? PSDSII DARLENE PEDERSEN

(2) Has a practical stock level been established and maintained?

☒ Yes ☐ No

(3) Is there a system that notifies the staff when the quarterly requisition is going to be prepared?

☒ Yes ☐ No

(a) Is the quarterly requisition period for this command adhered to?

☒ Yes ☐ No

(b) Is there a high number of emergency requisitions?

☐ Yes ☒ No

b. Are items stored properly in a storeroom?

☒ Yes ☐ No

(1) Is there convenient access for regularly used items?

☒ Yes ☐ No

(2) Have obsolete items been removed?

☒ Yes ☐ No

6. SUPPLIES

EVALUATED
YES

ACTION REQUIRED
NO

CORRECTED
N/A

a. Are all cameras assigned to the command accounted for?

☒ Yes ☐ No

(1) Are camera cases clean and do they contain the required accessories?

☒ Yes ☐ No

(2) Is camera maintenance assigned to a particular individual?

☒ Yes ☐ No

(a) What is his/her preventative maintenance schedule?

INSPECT AFTER EACH USE.

b. Are all extenders assigned to the command accounted for?

☒ Yes ☐ No

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		EVALUATED YES	ACTION REQUIRED NO	CORRECTED N/A
(1) Is there adequate security for extender batteries and other supplies?				<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
7. OFFICE EQUIPMENT				
a. Are office machines in good condition and properly maintained?				<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Is the vendor complying with maintenance contract provisions?				<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Is there a shortage or surplus of machines?				<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
b. Is the Management Information System (MIS) used properly?				<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Who is authorized to use the equipment?		ALL PERSONNEL		
(2) How is training provided, and by whom?		ONE ON ONE TRAINING PROVIDED BY OSSI.		
(3) Is there a usage schedule for uniformed and nonuniformed personnel?				<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(4) Are there controls in place to ensure confidentiality?				<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(5) Are all personnel aware of how to request repairs after normal business hours?				<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(6) Is the MIS used to send messages to other offices in lieu of formal memorandums?				<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(7) What system is used to ensure proper routing of MIS information?		USE OF MIS MANUAL		
Are personal computers used properly?		N/A - NO PERSONAL COMPUTERS USED BY STAFF		
(1) Who is authorized to use the equipment?				
(2) How is training provided, and by whom?				
(a) How many employees are trained in its use?				
(3) Are there restrictions on the time its used?				<input type="checkbox"/> Yes <input type="checkbox"/> No
(a) Is there a schedule for uniformed and nonuniformed employees?				<input type="checkbox"/> Yes <input type="checkbox"/> No
(4) Is confidential or sensitive information being stored on a PC hard drive?				<input type="checkbox"/> Yes <input type="checkbox"/> No
(a) If so, is the PC password protected?				<input type="checkbox"/> Yes <input type="checkbox"/> No
(b) Is confidential or sensitive information stored on disks, CDs, or removable drives kept in a secure area?				<input type="checkbox"/> Yes <input type="checkbox"/> No
(5) What is the PC being used for?				
(6) Are controls present to prevent inappropriate/personal use of the computer?				<input type="checkbox"/> Yes <input type="checkbox"/> No

AREA MANAGEMENT EVALUATION

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(7) Are backup procedures being performed on a regular basis? ☒ Yes ☐ No

(a) Where applicable, are backup disks stored in a secure area? ☒ Yes ☐ No

(8) Are PC manuals and other documentation available to all users? ☒ Yes ☐ No

(9) What procedures are in place to ensure out-of-date documents and files are purged? AREA USES THE DEPARTMENTS

RETENTION LIST.

(10) Are employees aware of the availability of assistance in resolving computer related problems? ☒ Yes ☐ No

(11) Is anti-virus software regularly utilized on all state-owned PCs? ☒ Yes ☐ No

8. PUBLIC CONTACTS

EVALUATED

YES

ACTION REQUIRED

NO

CORRECTED

N/A

a. Does the office have extended office hours? ☐ Yes ☒ No

(1) If so, are they adequate and effective? ☐ Yes ☐ No

b. Are persons served promptly and courteously? ☒ Yes ☐ No

(1) Are backup personnel immediately available? ☒ Yes ☐ No

(2) Is telephone service both efficient and effective? ☒ Yes ☐ No

(3) Are limited duty personnel used for receptionist duties and answering telephones? ☒ Yes ☐ No

(4) Are officer substitutions for nonuniformed positions kept at a minimum? ☒ Yes ☐ No

9. SCHOOL BUS DRIVER EXAMINATIONS

EVALUATED

YES

ACTION REQUIRED

NO

CORRECTED

N/A

a. Is school bus driver testing a special duty or a clerical function, or is a full-time school bus coordinator assigned?

(1) Are tests and test keys kept in a secure place? ☐ Yes ☐ No

(2) How are interested parties advised of testing procedures?

N/A

(a) Are exams graded in the presence of the applicant, and missed questions discussed? ☐ Yes ☐ No

(b) Does the officer or coordinator take possession of the test and dispose of accordingly? ☐ Yes ☐ No

(3) How are test disposed of?

(4) Is there a specific date and time set aside for testing? ☐ Yes ☐ No

COURT INFORMATION PROCEDURES

EVALUATED

YES

ACTION REQUIRED

NO

CORRECTED

N/A

a. Is there a systematic method of coordinating court appearance matters? ☒ Yes ☐ No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

(1) What controls are in place to ensure officers appear in court? WHEN SUBPOENAS ARE RECEIVED, THE CAD UNIT ACCEPTS AND DISTRIBUTES TO THE APPROPRIATE SERGEANT. THE SERGEANT THEN ENSURES THE OFFICER RECEIVES THE SUBPOENAS.

(a) How are appearances minimized following cancellations? OFFICERS ARE IMMEDIATELY NOTIFIED BY A SERGEANT.

(b) How are "short notice" cancellations minimized? OFFICERS REQUIRED TO CONTACT THE COURT 24 HOURS PRIOR TO THE APPEARANCE.

(2) Are CHP 90s, Report of Court Appearance - Civil Action, properly distributed and completed on all appropriate cases? ☒ Yes ☐ No

(3) Who is responsible for managing the process? CAD SUPERVISOR

(a) Are court officers performing duties that could be handled by clerical personnel? ☐ Yes ☒ No

11. DEPARTMENTAL MANUALS

EVALUATED
YES

ACTION REQUIRED
NO

CORRECTED
N/A

1. Are the number of authorized libraries being maintained? ☒ Yes ☐ No

(1) Are the libraries convenient for those who must use them? ☒ Yes ☐ No

(a) What controls are in place for "loaning" manuals to employees? SIGN OUT CARDS ARE AVAILABLE.

(2) Are publications distinctively marked so they can be readily identified? ☒ Yes ☐ No

(a) Are the number of libraries excessive or sufficient? SUFFICIENT, ONE LIBRARY ALONG WITH INTRANET ACCESS.

(b) Is there a listing available of what should be in each library? ☒ Yes ☐ No

(3) Are publications kept up-to-date? ☒ Yes ☐ No

(4) Who files publication changes? CLERICAL STAFF

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

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AREA 509/510	DIVISION Southern Division	NUMBER
EVALUATED BY J. Kolstad #16434		DATE 08/12/2008

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION <input checked="" type="checkbox"/> Formal Evaluation <input type="checkbox"/> Informal Evaluation		SUSPENSE DATE	
FOLLOW-UP REQUIRED <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		COMMANDER'S REVIEW	DATE
BY _____			

1. CLERICAL TASKS

EVALUATED Yes	ACTION REQUIRED No	CORRECTED
------------------	-----------------------	-----------

a. Is the office well organized? ☒ Yes ☐ No

(1) Are there written job descriptions? ☒ Yes ☐ No

(a) Does clerical staff have their job description at their desk? ☒ Yes ☐ No

(b) Does clerical staff understand what is expected of them? ☒ Yes ☐ No

(2) Are similar activities grouped together to promote efficiency? ☒ Yes ☐ No

(3) If tape recorders are used, can clerical employees transcribe effectively? ☐ Yes ☐ No

(4) Is the clerical staff knowledgeable in the use of personal computers, filing requirements, information security, etc.? ☒ Yes ☐ No

(5) Can another clerical employee assume the duties of a clerical employee who is absent? ☒ Yes ☐ No

b. Is the Office Services Supervisor (OSS) effective? ☒ Yes ☐ No

(1) Does he/she properly apply management philosophies and supervisory skills? ☒ Yes ☐ No

(a) Does he/she have the authority and backing necessary to effectively supervise subordinates? ☒ Yes ☐ No

(b) Is the clerical supervisor an effective manager? ☒ Yes ☐ No

(2) Does the OSS identify employees with supervisory potential? ☒ Yes ☐ No

(a) Does he/she assist employees in the preparation of written plans for progressive career development? ☒ Yes ☐ No

(b) Have special interests been identified and educational opportunities and/or departmental training been afforded the employees? ☒ Yes ☐ No

(c) Has the CHP 120, Individual Development Plan for Future Job Performance of Permanent Employee, been used to identify particular strengths of the employees? ☒ Yes ☐ No

(3) Does the supervisor set a good example? ☒ Yes ☐ No

(a) Does he/she show a willingness to assist subordinate personnel? ☒ Yes ☐ No

(b) Does he/she know when to act, when to delegate, and when to refer to a supervisor? ☒ Yes ☐ No

(4) If there is more than one OSS, is the work and supervision evenly distributed? ☐ Yes ☐ No

(5) Does the OSS participate in Area staff meetings? ☒ Yes ☐ No

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FILING SYSTEM	EVALUATED Yes	ACTION REQUIRED No	CORRECTED
a. Is the Area's filing system in compliance with departmental guidelines contained in HPG 11.1, Field Office File Guide?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Are other files, i.e., permanent files, enforcement document files, etc., maintained according to policy?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(1) How far back are accident reports being maintained? n/a			
(2) Is there a filing backlog?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
(3) Is there evidence of recent office review?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(4) How are Management and All Commanders Memorandums filed and purged?	There is one library for each command and each is kept outside of the respective Captain's office. The OSS-II files updates and purges outdated material.		
(5) Are Training and Information Bulletins filed?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(a) If so, how are they located?	See above (4).		
(6) Do all clerical employees understand the filing system?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(7) Does the Area have an effective suspense system?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(a) Do all supervisors take advantage of the suspense system?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Are personnel files properly secured and access limited?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(1) Are the requirements of the Information Practices Act being followed?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(2) Is a periodic review done on a regular basis?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(a) If so, how often?	Personnel files are reviewed annually.		
(3) Is annual employee review and updating conducted as required?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(4) Are only required or permitted items contained in personnel folders?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. SECURITY OF CRIMINAL RECORDS	EVALUATED Yes	ACTION REQUIRED No	CORRECTED
a. Have employees who have access to criminal offender record information signed an acknowledgment stating they understand the regulations and policies pertaining to these records?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(1) Has the Area designated a specific person to release criminal offender record information?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(a) Do any other persons release this information?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
(b) Has the designated person completed the required training?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(c) Are safeguards in place to verify telephone inquiries prior to disclosure?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(2) Does each person that is designated to release information maintain a CHP 263B, Criminal Offender Record Information Release Log?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(a) Are entries maintained for the prescribed period of time?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
FISCAL PROCEDURES	EVALUATED Yes	ACTION REQUIRED No	CORRECTED
a. Have discrepancies on the most current audit reports been corrected?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

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(1) Are all change fund and collections handled and processed according to policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is there a separation of duties between cashier responsibilities and transmittal of collections?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are collections and change funds safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are checks promptly endorsed and cash receipts reconciled daily?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(f) Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(g) What specific guidelines are in place for security control and accountability? The Lt. and/or Area Commander provide accountability and oversight. They also conduct random audits and checks to ensure accuracy.		
(h) Is a supervisor responsible for review of the system?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(i) Do total collections agree with the total amount of counter receipts and DL45s issued?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(j) Are counter receipts and transmittal records prepared properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(k) Are surprise counts of funds performed and documented by the commander or designee?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Are security and accountability procedures in place for the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Is the petty cash fund used only for authorized purchases within the limited amount?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are valid authorizations on file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are there adequate procedures to ensure purchases are properly authorized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are surprise counts performed by someone not involved in handling the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Are X-Number services proper and within departmental and state policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are services procured over \$4,999.99?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(b) Is the amount limit circumvented by splitting procurements?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 78X, X-Number Request?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Do invoices itemize charges and reference X-Numbers?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(4) Are bank cards adequately safeguarded, and purchases reviewed by a supervisor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are cardholders familiar with the bank card process, including prohibited and restricted items?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are purchases within established policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 315X?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Is the bank card log completed properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

AREA MANAGEMENT EVALUATION

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(e) Are invoices and CHP 317, CAL-Card Log, reviewed by a supervisor? ☒ Yes ☐ No

(f) Is there a reconciliation of the monthly bank card statement, and does it have supervisory approval? ☒ Yes ☐ No

b. What controls does the commander have in place to ensure timely transmittals of monies? **The OSS-II completes the money transmittals on a weekly basis. All transmittals are reviewed and approved by the Commanders.**

(1) Are collections sent to Fiscal Management Section at the first occurrence of \$1,000 in cash and \$10,000 total collections, or at the close of business each Thursday? ☒ Yes ☐ No

(2) Are monies received for DL45s, California Special Driver's Certificate, asset forfeiture, reimbursables, evidence, etc., handled appropriately by coordinating transmittal with the Area cashier? ☒ Yes ☐ No

(3) Are "no collection" transmittals sent when appropriate? ☒ Yes ☐ No

(4) Do tire sale transactions comply with policy? ☒ Yes ☐ No

c. Is security of the postage machine adequate? ☒ Yes ☐ No

(1) Is the machine locked when not in use? ☒ Yes ☐ No

(2) Is the meter reading documented as required? ☒ Yes ☐ No

(3) Is there documentation of monies refunded or forwarded to Fiscal Management Section when the postage machine is being repaired or replaced? ☒ Yes ☐ No

SUPPLY REQUISITIONS (CHP 41)	EVALUATED Yes	ACTION REQUIRED No	CORRECTED
a. Are requisitions prepared properly? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
(1) Who prepares them? The OSS-II and one of the office techs complete the requisitions.			
(2) Has a practical stock level been established and maintained? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
(3) Is there a system that notifies the staff when the quarterly requisition is going to be prepared? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
(a) Is the quarterly requisition period for this command adhered to? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
(b) Is there a high number of emergency requisitions? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
b. Are items stored properly in a storeroom? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
(1) Is there convenient access for regularly used items? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
(2) Have obsolete items been removed? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			

6. SUPPLIES	EVALUATED Yes	ACTION REQUIRED No	CORRECTED
a. Are all cameras assigned to the command accounted for? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
(1) Are camera cases clean and do they contain the required accessories? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
(2) Is camera maintenance assigned to a particular individual? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
(a) What is his/her preventative maintenance schedule? Cameras are replaced and fixed as required by an approved vendor.			
b. Are all extenders assigned to the command accounted for? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			

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(1) Is there adequate security for extender batteries and other supplies?

☒ Yes ☐ No

7. OFFICE EQUIPMENT

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Are office machines in good condition and properly maintained?

☒ Yes ☐ No

(1) Is the vendor complying with maintenance contract provisions?

☒ Yes ☐ No

(2) Is there a shortage or surplus of machines?

☐ Yes ☒ No

b. Is the Management Information System (MIS) used properly?

☒ Yes ☐ No

(1) Who is authorized to use the equipment? **The OSS-II, the office tech., and the administrative Lt. use the MIS.**

(2) How is training provided, and by whom? **Training is provided on-line and additional assistance is provided by the OSS-II if needed.**

(3) Is there a usage schedule for uniformed and nonuniformed personnel?

☐ Yes ☒ No

(4) Are there controls in place to ensure confidentiality?

☒ Yes ☐ No

(5) Are all personnel aware of how to request repairs after normal business hours?

☒ Yes ☐ No

(6) Is the MIS used to send messages to other offices in lieu of formal memorandums?

☒ Yes ☐ No

(7) What system is used to ensure proper routing of MIS information? **The OSS-II ensures proper routing of the MIS information.**

.. Are personal computers used properly?

☐ Yes ☐ No

(1) Who is authorized to use the equipment?

(2) How is training provided, and by whom?

(a) How many employees are trained in its use?

(3) Are there restrictions on the time its used?

☐ Yes ☐ No

(a) Is there a schedule for uniformed and nonuniformed employees?

☐ Yes ☐ No

(4) Is confidential or sensitive information being stored on a PC hard drive?

☐ Yes ☐ No

(a) If so, is the PC password protected?

☐ Yes ☐ No

(b) Is confidential or sensitive information stored on disks, CDs, or removable drives kept in a secure area?

☒ Yes ☐ No

(5) What is the PC being used for? **Personal computers are not used by clerical employees at work. Occasionally data will be stored on an external source for use at home or for storage purposes. These are securely stored and the information stored is encrypted.**

(6) Are controls present to prevent inappropriate/personal use of the computer?

☐ Yes ☐ No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

(7) Are backup procedures being performed on a regular basis? ☐ Yes ☐ No

(a) Where applicable, are backup disks stored in a secure area? ☐ Yes ☐ No

(8) Are PC manuals and other documentation available to all users? ☒ Yes ☐ No

(9) What procedures are in place to ensure out-of-date documents and files are purged? **The OSS-II and the Lt. follow the direction of the Division LAN Coordinator to ensure that old data and user information is deleted when appropriate.**

(10) Are employees aware of the availability of assistance in resolving computer related problems? ☒ Yes ☐ No

(11) Is anti-virus software regularly utilized on all state-owned PCs? ☒ Yes ☐ No

8. PUBLIC CONTACTS

EVALUATED

Yes

ACTION REQUIRED

No

CORRECTED

a. Does the office have extended office hours? ☐ Yes ☒ No

(1) If so, are they adequate and effective? ☐ Yes ☐ No

b. Are persons served promptly and courteously? ☒ Yes ☐ No

(1) Are backup personnel immediately available? ☒ Yes ☐ No

(2) Is telephone service both efficient and effective? ☒ Yes ☐ No

(3) Are limited duty personnel used for receptionist duties and answering telephones? ☐ Yes ☒ No

(4) Are officer substitutions for nonuniformed positions kept at a minimum? ☒ Yes ☐ No

9. SCHOOL BUS DRIVER EXAMINATIONS

EVALUATED

n/a

ACTION REQUIRED

n/a

CORRECTED

a. Is school bus driver testing a special duty or a clerical function, or is a full-time school bus coordinator assigned?

(1) Are tests and test keys kept in a secure place? ☐ Yes ☐ No

(2) How are interested parties advised of testing procedures?

(a) Are exams graded in the presence of the applicant, and missed questions discussed? ☐ Yes ☐ No

(b) Does the officer or coordinator take possession of the test and dispose of accordingly? ☐ Yes ☐ No

(3) How are test disposed of?

(4) Is there a specific date and time set aside for testing? ☐ Yes ☐ No

COURT INFORMATION PROCEDURES

EVALUATED

Yes

ACTION REQUIRED

No

CORRECTED

a. Is there a systematic method of coordinating court appearance matters? ☒ Yes ☐ No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

(1) What controls are in place to ensure officers appear in court? The office tech. that serves as the subpoena control clerk ensures that all subpoenas are forwarded to the shift supervisor, signed by the employee, and logged into the subpoena log book.

(a) How are appearances minimized following cancellations? Officers are notified by phone.

(b) How are "short notice" cancellations minimized? See above.

(2) Are CHP 90s, Report of Court Appearance - Civil Action, properly distributed and completed on all appropriate cases? ☒ Yes ☐ No

(3) Who is responsible for managing the process? The office tech.

(a) Are court officers performing duties that could be handled by clerical personnel? ☐ Yes ☒ No

11. DEPARTMENTAL MANUALS

EVALUATED

Yes

ACTION REQUIRED

No

CORRECTED

Are the number of authorized libraries being maintained? ☒ Yes ☐ No

(1) Are the libraries convenient for those who must use them? ☒ Yes ☐ No

(a) What controls are in place for "loaning" manuals to employees? There are not loaned.

(2) Are publications distinctively marked so they can be readily identified? ☒ Yes ☐ No

(a) Are the number of libraries excessive or sufficient? sufficient

(b) Is there a listing available of what should be in each library? ☒ Yes ☐ No

(3) Are publications kept up-to-date? ☒ Yes ☐ No

(4) Who files publication changes? The OSS-II

Areas 509 and 510 (Investigative Services Unit and Commercial Unit) are housed at the same location. Both Areas are served by one clerical staff, even though they are separate commands.

her Area has a school bus coordinator or conducts school bus testing.

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

AREA East LA/535	DIVISION Southern	NUMBER
EVALUATED BY J. Kolstad #16434		DATE 07/17/2008

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION <input checked="" type="checkbox"/> Formal Evaluation <input type="checkbox"/> Informal Evaluation		SUSPENSE DATE	
FOLLOW-UP REQUIRED <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Correction Report BY _____	COMMANDER'S REVIEW DATE

1. CLERICAL TASKS

	EVALUATED Yes	ACTION REQUIRED No	CORRECTED
a. Is the office well organized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(1) Are there written job descriptions?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(a) Does clerical staff have their job description at their desk?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(b) Does clerical staff understand what is expected of them?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(2) Are similar activities grouped together to promote efficiency?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(3) If tape recorders are used, can clerical employees transcribe effectively?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(4) Is the clerical staff knowledgeable in the use of personal computers, filing requirements, information security, etc.?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(5) Can another clerical employee assume the duties of a clerical employee who is absent?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
b. Is the Office Services Supervisor (OSS) effective?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(1) Does he/she properly apply management philosophies and supervisory skills?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(a) Does he/she have the authority and backing necessary to effectively supervise subordinates?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(b) Is the clerical supervisor an effective manager?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(2) Does the OSS identify employees with supervisory potential?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(a) Does he/she assist employees in the preparation of written plans for progressive career development?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
(b) Have special interests been identified and educational opportunities and/or departmental training been afforded the employees?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
(c) Has the CHP 120, Individual Development Plan for Future Job Performance of Permanent Employee, been used to identify particular strengths of the employees?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
(3) Does the supervisor set a good example?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(a) Does he/she show a willingness to assist subordinate personnel?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(b) Does he/she know when to act, when to delegate, and when to refer to a supervisor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(4) If there is more than one OSS, is the work and supervision evenly distributed?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
(5) Does the OSS participate in Area staff meetings?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	

LING SYSTEM	EVALUATED	ACTION REQUIRED	CORRECTED
	Yes	No	
a. Is the Area's filing system in compliance with departmental guidelines contained in HPG 11.1, Field Office File Guide?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
b. Are other files, i.e., permanent files, enforcement document files, etc., maintained according to policy?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) How far back are accident reports being maintained? 5 to 7 years			
(2) Is there a filing backlog?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(3) Is there evidence of recent office review?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) How are Management and All Commanders Memorandums filed and purged?		OSS-II with the assistance of the Office Tech	
assures that MMs are current and up to date.			
(5) Are Training and Information Bulletins filed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) If so, how are they located?		In the filing system located in the clerical unit.	
(6) Do all clerical employees understand the filing system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(7) Does the Area have an effective suspense system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Do all supervisors take advantage of the suspense system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Are personnel files properly secured and access limited?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Are the requirements of the Information Practices Act being followed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Is a periodic review done on a regular basis?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) If so, how often?		Quarterly. With an extensive annual review.	
(3) Is annual employee review and updating conducted as required?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) Are only required or permitted items contained in personnel folders?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
3. SECURITY OF CRIMINAL RECORDS			
	EVALUATED	ACTION REQUIRED	CORRECTED
	Yes	No	
a. Have employees who have access to criminal offender record information signed an acknowledgment stating they understand the regulations and policies pertaining to these records?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Has the Area designated a specific person to release criminal offender record information?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Do any other persons release this information?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(b) Has the designated person completed the required training?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(c) Are safeguards in place to verify telephone inquiries prior to disclosure?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Does each person that is designated to release information maintain a CHP 263B, Criminal Offender Record Information Release Log?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Are entries maintained for the prescribed period of time?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
4. SCAL PROCEDURES			
	EVALUATED	ACTION REQUIRED	CORRECTED
	Yes	No	
a. Have discrepancies on the most current audit reports been corrected?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

(1) Are all change fund and collections handled and processed according to policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is there a separation of duties between cashier responsibilities and transmittal of collections?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are collections and change funds safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are checks promptly endorsed and cash receipts reconciled daily?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(f) Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(g) What specific guidelines are in place for security control and accountability?	The OSS-II keeps them up to date and secures them under lock and key in a locked room every evening.	
(h) Is a supervisor responsible for review of the system?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(i) Do total collections agree with the total amount of counter receipts and DL45s issued?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(j) Are counter receipts and transmittal records prepared properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(k) Are surprise counts of funds performed and documented by the commander or designee?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Are security and accountability procedures in place for the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Is the petty cash fund used only for authorized purchases within the limited amount?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are valid authorizations on file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are there adequate procedures to ensure purchases are properly authorized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are surprise counts performed by someone not involved in handling the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Are X-Number services proper and within departmental and state policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are services procured over \$4,999.99?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(b) Is the amount limit circumvented by splitting procurements?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 78X, X-Number Request?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Do invoices itemize charges and reference X-Numbers?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(4) Are bank cards adequately safeguarded, and purchases reviewed by a supervisor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are cardholders familiar with the bank card process, including prohibited and restricted items?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are purchases within established policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 315X?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Is the bank card log completed properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

(e) Are invoices and CHP 317, CAL-Card Log, reviewed by a supervisor? ☒ Yes ☐ No

(f) Is there a reconciliation of the monthly bank card statement, and does it have supervisory approval? ☒ Yes ☐ No

b. What controls does the commander have in place to ensure timely transmittals of monies? Random checks are conducted by the Lt.

(1) Are collections sent to Fiscal Management Section at the first occurrence of \$1,000 in cash and \$10,000 total collections, or at the close of business each Thursday? ☒ Yes ☐ No

(2) Are monies received for DL45s, California Special Driver's Certificate, asset forfeiture, reimbursables, evidence, etc., handled appropriately by coordinating transmittal with the Area cashier? ☒ Yes ☐ No

(3) Are "no collection" transmittals sent when appropriate? ☒ Yes ☐ No

(4) Do tire sale transactions comply with policy? ☒ Yes ☐ No

c. Is security of the postage machine adequate? ☒ Yes ☐ No

(1) Is the machine locked when not in use? ☒ Yes ☐ No

(2) Is the meter reading documented as required? ☒ Yes ☐ No

(3) Is there documentation of monies refunded or forwarded to Fiscal Management Section when the postage machine is being repaired or replaced? ☒ Yes ☐ No

5. SUPPLY REQUISITIONS (CHP 41)

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Are requisitions prepared properly? ☒ Yes ☐ No

(1) Who prepares them? OSS-II

(2) Has a practical stock level been established and maintained? ☒ Yes ☐ No

(3) Is there a system that notifies the staff when the quarterly requisition is going to be prepared? ☒ Yes ☐ No

(a) Is the quarterly requisition period for this command adhered to? ☒ Yes ☐ No

(b) Is there a high number of emergency requisitions? ☐ Yes ☒ No

b. Are items stored properly in a storeroom? ☒ Yes ☐ No

(1) Is there convenient access for regularly used items? ☒ Yes ☐ No

(2) Have obsolete items been removed? ☒ Yes ☐ No

6. SUPPLIES

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Are all cameras assigned to the command accounted for? ☒ Yes ☐ No

(1) Are camera cases clean and do they contain the required accessories? ☒ Yes ☐ No

(2) Is camera maintenance assigned to a particular individual? ☒ Yes ☐ No

(a) What is his/her preventative maintenance schedule? Conducted by the Inventory control officer and administrative Sgt. on an as-needed basis.

b. Are all extenders assigned to the command accounted for? ☒ Yes ☐ No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

(1) Is there adequate security for extender batteries and other supplies?

☒ Yes ☐ No

7. OFFICE EQUIPMENT

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Are office machines in good condition and properly maintained?

☒ Yes ☐ No

(1) Is the vendor complying with maintenance contract provisions?

☒ Yes ☐ No

(2) Is there a shortage or surplus of machines?

☐ Yes ☒ No

b. Is the Management Information System (MIS) used properly?

☒ Yes ☐ No

(1) Who is authorized to use the equipment? OSS-II, Area Management, OT/arrest clerk

(2) How is training provided, and by whom? OSS-II

(3) Is there a usage schedule for uniformed and nonuniformed personnel?

☒ Yes ☐ No

(4) Are there controls in place to ensure confidentiality?

☒ Yes ☐ No

(5) Are all personnel aware of how to request repairs after normal business hours?

☒ Yes ☐ No

(6) Is the MIS used to send messages to other offices in lieu of formal memorandums?

☒ Yes ☐ No

(7) What system is used to ensure proper routing of MIS information? OSS-II ensures that they are routed properly.

Are personal computers used properly?

☐ Yes ☐ No

(1) Who is authorized to use the equipment?

(2) How is training provided, and by whom?

(a) How many employees are trained in its use?

(3) Are there restrictions on the time its used?

☐ Yes ☐ No

(a) Is there a schedule for uniformed and nonuniformed employees?

☐ Yes ☐ No

(4) Is confidential or sensitive information being stored on a PC hard drive?

☐ Yes ☐ No

(a) If so, is the PC password protected?

☐ Yes ☐ No

(b) Is confidential or sensitive information stored on disks, CDs, or removable drives kept in a secure area?

☐ Yes ☐ No

(5) What is the PC being used for?

(6) Are controls present to prevent inappropriate/personal use of the computer?

☐ Yes ☐ No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

(7) Are backup procedures being performed on a regular basis? ☐ Yes ☐ No

(a) Where applicable, are backup disks stored in a secure area? ☐ Yes ☐ No

(8) Are PC manuals and other documentation available to all users? ☐ Yes ☐ No

(9) What procedures are in place to ensure out-of-date documents and files are purged?

(10) Are employees aware of the availability of assistance in resolving computer related problems? ☒ Yes ☐ No

(11) Is anti-virus software regularly utilized on all state-owned PCs? ☒ Yes ☐ No

8. PUBLIC CONTACTS

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Does the office have extended office hours? ☐ Yes ☒ No

(1) If so, are they adequate and effective? ☐ Yes ☐ No

b. Are persons served promptly and courteously? ☒ Yes ☐ No

(1) Are backup personnel immediately available? ☒ Yes ☐ No

(2) Is telephone service both efficient and effective? ☒ Yes ☐ No

(3) Are limited duty personnel used for receptionist duties and answering telephones? ☒ Yes ☐ No

(4) Are officer substitutions for nonuniformed positions kept at a minimum? ☐ Yes ☒ No

9. SCHOOL BUS DRIVER EXAMINATIONS

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Is school bus driver testing a special duty or a clerical function, or is a full-time school bus coordinator assigned? **Officer Paul Martinez serves as a full-time coordinator.**

(1) Are tests and test keys kept in a secure place? ☒ Yes ☐ No

(2) How are interested parties advised of testing procedures? **Interested parties are advised at meetings by the school bus companies.**

(a) Are exams graded in the presence of the applicant, and missed questions discussed? ☒ Yes ☐ No

(b) Does the officer or coordinator take possession of the test and dispose of accordingly? ☒ Yes ☐ No

(3) How are test disposed of? **shredded**

(4) Is there a specific date and time set aside for testing? ☒ Yes ☐ No

COURT INFORMATION PROCEDURES

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Is there a systematic method of coordinating court appearance matters? ☒ Yes ☐ No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

(1) What controls are in place to ensure officers appear in court? The Area has two officers assigned to this task. All court appearances are kept in a log book. Officers who miss court or have their appearance cancelled are notified by phone and an entry is made in the log book.

(a) How are appearances minimized following cancellations? see above

(b) How are "short notice" cancellations minimized? see above

(2) Are CHP 90s, Report of Court Appearance - Civil Action, properly distributed and completed on all appropriate cases? ☒ Yes ☐ No

(3) Who is responsible for managing the process? The office assistant in charge of subpoena control.

(a) Are court officers performing duties that could be handled by clerical personnel? ☐ Yes ☒ No

11. DEPARTMENTAL MANUALS

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

Are the number of authorized libraries being maintained? ☒ Yes ☐ No

(1) Are the libraries convenient for those who must use them? ☒ Yes ☐ No

(a) What controls are in place for "loaning" manuals to employees? Manuals are not loaned.

(2) Are publications distinctively marked so they can be readily identified? ☒ Yes ☐ No

(a) Are the number of libraries excessive or sufficient? excessive

(b) Is there a listing available of what should be in each library? ☒ Yes ☐ No

(3) Are publications kept up-to-date? ☒ Yes ☐ No

(4) Who files publication changes? The OSS-II performs this task.

The OSS-II is currently completing her probationary period at the position. The Administrative Lt. advised me that she has done a respectable job at her new position thus far. The Lt. also stated that the promotional process for non-uniformed personnel is discussed at their annual appraisals, but so far none of the employees have expressed any interest in the process.

OSS-II advised me that none of her clerical staff used personal computers at their work stations. I did not observe any during my inspection.

AREA 590	DIVISION Southern	NUMBER
EVALUATED BY Officer Joshua Kolstad		DATE 07/08/2008

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION <input checked="" type="checkbox"/> Formal Evaluation <input type="checkbox"/> Informal Evaluation		SUSPENSE DATE	
FOLLOW-UP REQUIRED <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Correction Report BY _____	
		COMMANDER'S REVIEW	DATE

1. CLERICAL TASKS

EVALUATED Yes	ACTION REQUIRED Yes	CORRECTED Yes
------------------	------------------------	------------------

a. Is the office well organized? ☒ Yes ☐ No

(1) Are there written job descriptions? ☒ Yes ☐ No

(a) Does clerical staff have their job description at their desk? ☒ Yes ☐ No

(b) Does clerical staff understand what is expected of them? ☒ Yes ☐ No

(2) Are similar activities grouped together to promote efficiency? ☒ Yes ☐ No

(3) If tape recorders are used, can clerical employees transcribe effectively? ☐ Yes ☒ No

(4) Is the clerical staff knowledgeable in the use of personal computers, filing requirements, information security, etc.? ☒ Yes ☐ No

(5) Can another clerical employee assume the duties of a clerical employee who is absent? ☒ Yes ☐ No

b. Is the Office Services Supervisor (OSS) effective? ☒ Yes ☐ No

(1) Does he/she properly apply management philosophies and supervisory skills? ☒ Yes ☐ No

(a) Does he/she have the authority and backing necessary to effectively supervise subordinates? ☒ Yes ☐ No

(b) Is the clerical supervisor an effective manager? ☒ Yes ☐ No

(2) Does the OSS identify employees with supervisory potential? ☒ Yes ☐ No

(a) Does he/she assist employees in the preparation of written plans for progressive career development? ☐ Yes ☒ No

(b) Have special interests been identified and educational opportunities and/or departmental training been afforded the employees? ☒ Yes ☐ No

(c) Has the CHP 120, Individual Development Plan for Future Job Performance of Permanent Employee, been used to identify particular strengths of the employees? ☐ Yes ☒ No

(3) Does the supervisor set a good example? ☒ Yes ☐ No

(a) Does he/she show a willingness to assist subordinate personnel? ☒ Yes ☐ No

(b) Does he/she know when to act, when to delegate, and when to refer to a supervisor? ☒ Yes ☐ No

(4) If there is more than one OSS, is the work and supervision evenly distributed? ☒ Yes ☐ No

(5) Does the OSS participate in Area staff meetings? ☒ Yes ☐ No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

ILING SYSTEM	EVALUATED Yes	ACTION REQUIRED No	CORRECTED
a. Is the Area's filing system in compliance with departmental guidelines contained in HPG 11.1, Field Office File Guide?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
b. Are other files, i.e., permanent files, enforcement document files, etc., maintained according to policy?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) How far back are accident reports being maintained? 48 months			
(2) Is there a filing backlog?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(3) Is there evidence of recent office review?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) How are Management and All Commanders Memorandums filed and purged?			Current MMs are filed by OSS-II (D. Morelli). MMs are shredded after the expiration date.
(5) Are Training and Information Bulletins filed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) If so, how are they located?			They are stored in a binder at the OSS-I's desk.
(6) Do all clerical employees understand the filing system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(7) Does the Area have an effective suspense system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Do all supervisors take advantage of the suspense system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Are personnel files properly secured and access limited?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Are the requirements of the Information Practices Act being followed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Is a periodic review done on a regular basis?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) If so, how often? monthly			
(3) Is annual employee review and updating conducted as required?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) Are only required or permitted items contained in personnel folders?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
3. SECURITY OF CRIMINAL RECORDS	EVALUATED Yes	ACTION REQUIRED No	CORRECTED
a. Have employees who have access to criminal offender record information signed an acknowledgment stating they understand the regulations and policies pertaining to these records?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Has the Area designated a specific person to release criminal offender record information?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Do any other persons release this information?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(b) Has the designated person completed the required training?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(c) Are safeguards in place to verify telephone inquiries prior to disclosure?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Does each person that is designated to release information maintain a CHP 263B, Criminal Offender Record Information Release Log?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Are entries maintained for the prescribed period of time?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
FISCAL PROCEDURES	EVALUATED Yes	ACTION REQUIRED No	CORRECTED
a. Have discrepancies on the most current audit reports been corrected?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

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(1) Are all change fund and collections handled and processed according to policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is there a separation of duties between cashier responsibilities and transmittal of collections?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are collections and change funds safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are checks promptly endorsed and cash receipts reconciled daily?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(f) Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(g) What specific guidelines are in place for security control and accountability?	All DL 45s and counter receipts are kept in a locked cabinet. There are only 3 people with access to the locked cabinet--the OSS-I and OSS-II and the office tech who works in the records department.	
(h) Is a supervisor responsible for review of the system?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(i) Do total collections agree with the total amount of counter receipts and DL45s issued?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(j) Are counter receipts and transmittal records prepared properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(k) Are surprise counts of funds performed and documented by the commander or designee?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Are security and accountability procedures in place for the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Is the petty cash fund used only for authorized purchases within the limited amount?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are valid authorizations on file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are there adequate procedures to ensure purchases are properly authorized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are surprise counts performed by someone not involved in handling the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Are X-Number services proper and within departmental and state policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are services procured over \$4,999.99?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(b) Is the amount limit circumvented by splitting procurements?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 78X, X-Number Request?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Do invoices itemize charges and reference X-Numbers?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(4) Are bank cards adequately safeguarded, and purchases reviewed by a supervisor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are cardholders familiar with the bank card process, including prohibited and restricted items?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are purchases within established policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 315X?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Is the bank card log completed properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

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(e) Are invoices and CHP 317, CAL-Card Log, reviewed by a supervisor? ☒ Yes ☐ No

(f) Is there a reconciliation of the monthly bank card statement, and does it have supervisory approval? ☒ Yes ☐ No

b. What controls does the commander have in place to ensure timely transmittals of monies? The OSS-II completes all money transmittals on a weekly basis. Each transmittal is then reviewed by the Area Commander for approval. A copy of each is kept by the office technician.

(1) Are collections sent to Fiscal Management Section at the first occurrence of \$1,000 in cash and \$10,000 total collections, or at the close of business each Thursday? ☒ Yes ☐ No

(2) Are monies received for DL45s, California Special Driver's Certificate, asset forfeiture, reimbursables, evidence, etc., handled appropriately by coordinating transmittal with the Area cashier? ☒ Yes ☐ No

(3) Are "no collection" transmittals sent when appropriate? ☒ Yes ☐ No

(4) Do tire sale transactions comply with policy? ☒ Yes ☐ No

c. Is security of the postage machine adequate? ☒ Yes ☐ No

(1) Is the machine locked when not in use? ☒ Yes ☐ No

(2) Is the meter reading documented as required? ☒ Yes ☐ No

(3) Is there documentation of monies refunded or forwarded to Fiscal Management Section when the postage machine is being repaired or replaced? ☒ Yes ☐ No

F SUPPLY REQUISITIONS (CHP 41)	EVALUATED	ACTION REQUIRED	CORRECTED
	Yes	No	

a. Are requisitions prepared properly? ☒ Yes ☐ No

(1) Who prepares them? OSS-II with the assistance of an office tech.

(2) Has a practical stock level been established and maintained? ☒ Yes ☐ No

(3) Is there a system that notifies the staff when the quarterly requisition is going to be prepared? ☒ Yes ☐ No

(a) Is the quarterly requisition period for this command adhered to? ☒ Yes ☐ No

(b) Is there a high number of emergency requisitions? ☐ Yes ☒ No

b. Are items stored properly in a storeroom? ☒ Yes ☐ No

(1) Is there convenient access for regularly used items? ☒ Yes ☐ No

(2) Have obsolete items been removed? ☒ Yes ☐ No

6. SUPPLIES	EVALUATED	ACTION REQUIRED	CORRECTED
	Yes	No	

a. Are all cameras assigned to the command accounted for? ☒ Yes ☐ No

(1) Are camera cases clean and do they contain the required accessories? ☒ Yes ☐ No

(2) Is camera maintenance assigned to a particular individual? ☒ Yes ☐ No

(a) What is his/her preventative maintenance schedule? There is no preventative maintenance schedule for the cameras.

However, there is a contract in place to fix the cameras should one become defective.

b. Are all extenders assigned to the command accounted for? ☒ Yes ☐ No

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(1) Is there adequate security for extender batteries and other supplies?

☒ Yes ☐ No

7. OFFICE EQUIPMENT

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Are office machines in good condition and properly maintained?

☒ Yes ☐ No

(1) Is the vendor complying with maintenance contract provisions?

☒ Yes ☐ No

(2) Is there a shortage or surplus of machines?

☒ Yes ☐ No

b. Is the Management Information System (MIS) used properly?

☒ Yes ☐ No

(1) Who is authorized to use the equipment? Management, Supervisors, OSS-I and OSS-II, and one Office Tech.

(2) How is training provided, and by whom? Training is provided through field support.

(3) Is there a usage schedule for uniformed and nonuniformed personnel?

☐ Yes ☒ No

(4) Are there controls in place to ensure confidentiality?

☒ Yes ☐ No

(5) Are all personnel aware of how to request repairs after normal business hours?

☒ Yes ☐ No

(6) Is the MIS used to send messages to other offices in lieu of formal memorandums?

☐ Yes ☒ No

(7) What system is used to ensure proper routing of MIS information? The OSS-II ensures that the MIS is routed properly.

Are personal computers used properly?

☐ Yes ☒ No

(1) Who is authorized to use the equipment? No personal computers are used.

(2) How is training provided, and by whom? n/a

(a) How many employees are trained in its use? n/a

(3) Are there restrictions on the time its used?

☐ Yes ☒ No

(a) Is there a schedule for uniformed and nonuniformed employees?

☐ Yes ☒ No

(4) Is confidential or sensitive information being stored on a PC hard drive?

☐ Yes ☒ No

(a) If so, is the PC password protected?

☐ Yes ☐ No

(b) Is confidential or sensitive information stored on disks, CDs, or removable drives kept in a secure area?

☐ Yes ☐ No

(5) What is the PC being used for? n/a

(6) Are controls present to prevent inappropriate/personal use of the computer?

☒ Yes ☐ No

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(7) Are backup procedures being performed on a regular basis? ☒ Yes ☐ No

(a) Where applicable, are backup disks stored in a secure area? ☒ Yes ☐ No

(8) Are PC manuals and other documentation available to all users? ☒ Yes ☐ No

(9) What procedures are in place to ensure out-of-date documents and files are purged? Bi-annually an announcement and briefing item are put forth. If there is no response the out-of-date documents and files are purged.

(10) Are employees aware of the availability of assistance in resolving computer related problems? ☒ Yes ☐ No

(11) Is anti-virus software regularly utilized on all state-owned PCs? ☒ Yes ☐ No

8. PUBLIC CONTACTS

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Does the office have extended office hours? ☐ Yes ☒ No

(1) If so, are they adequate and effective? ☐ Yes ☐ No

b. Are persons served promptly and courteously? ☒ Yes ☐ No

(1) Are backup personnel immediately available? ☒ Yes ☐ No

(2) Is telephone service both efficient and effective? ☒ Yes ☐ No

(3) Are limited duty personnel used for receptionist duties and answering telephones? ☒ Yes ☐ No

(4) Are officer substitutions for nonuniformed positions kept at a minimum? ☒ Yes ☐ No

9. SCHOOL BUS DRIVER EXAMINATIONS

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Is school bus driver testing a special duty or a clerical function, or is a full-time school bus coordinator assigned? Full-time coordinator.

(1) Are tests and test keys kept in a secure place? ☒ Yes ☐ No

(2) How are interested parties advised of testing procedures? The test is scheduled ahead of time on predetermined dates.

(a) Are exams graded in the presence of the applicant, and missed questions discussed? ☒ Yes ☐ No

(b) Does the officer or coordinator take possession of the test and dispose of accordingly? ☒ Yes ☐ No

(3) How are test disposed of? They are shredded.

(4) Is there a specific date and time set aside for testing? ☒ Yes ☐ No

COURT INFORMATION PROCEDURES

EVALUATED
Yes

ACTION REQUIRED
Yes

CORRECTED
Yes

a. Is there a systematic method of coordinating court appearance matters? ☒ Yes ☐ No

(1) What controls are in place to ensure officers appear in court? The court liaison officer completes a court attendance log and subpoena log. If there are any officers who miss their scheduled court appearance she notifies the administrative sgt. The admin. sgt. in turn notifies the individual's immediate supervisor for corrective action.

(a) How are appearances minimized following cancellations? The court liaison officer establishes a list of "needed" officers and monitors the DA/CA subpoena list. She calls officers immediately if their case is continued or cancelled.

(b) How are "short notice" cancellations minimized? See above.

(2) Are CHP 90s, Report of Court Appearance - Civil Action, properly distributed and completed on all appropriate cases? ☐ Yes ☒ No

(3) Who is responsible for managing the process? Support Staff member D. Harker (A14009) has this responsibility of overseeing the CHP 90s.

(a) Are court officers performing duties that could be handled by clerical personnel? ☐ Yes ☒ No

11. DEPARTMENTAL MANUALS

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

1. Are the number of authorized libraries being maintained? ☒ Yes ☐ No

(1) Are the libraries convenient for those who must use them? ☒ Yes ☐ No

(a) What controls are in place for "loaning" manuals to employees? The employee signs out for the manual

(2) Are publications distinctively marked so they can be readily identified? ☒ Yes ☐ No

(a) Are the number of libraries excessive or sufficient? sufficient

(b) Is there a listing available of what should be in each library? ☒ Yes ☐ No

(3) Are publications kept up-to-date? ☒ Yes ☐ No

(4) Who files publication changes? The OSS-I has this responsibility.

See attached for action items.

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AREA Castaic Inspection Facility	DIVISION Southern Division	NUMBER 541
EVALUATED BY Officer B.T. Vaughan #17299		DATE 07/22/2008

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION <input checked="" type="checkbox"/> Formal Evaluation <input type="checkbox"/> Informal Evaluation		SUSPENSE DATE	
FOLLOW-UP REQUIRED <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Correction Report BY _____	COMMANDER'S REVIEW DATE

1. CLERICAL TASKS

	EVALUATED YES	ACTION REQUIRED NO	CORRECTED N/A
a. Is the office well organized?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(1) Are there written job descriptions?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(a) Does clerical staff have their job description at their desk?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(b) Does clerical staff understand what is expected of them?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(2) Are similar activities grouped together to promote efficiency?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(3) If tape recorders are used, can clerical employees transcribe effectively?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(4) Is the clerical staff knowledgeable in the use of personal computers, filing requirements, information security, etc.?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(5) Can another clerical employee assume the duties of a clerical employee who is absent?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Is the Office Services Supervisor (OSS) effective?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(1) Does he/she properly apply management philosophies and supervisory skills?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(a) Does he/she have the authority and backing necessary to effectively supervise subordinates?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(b) Is the clerical supervisor an effective manager?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(2) Does the OSS identify employees with supervisory potential?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(a) Does he/she assist employees in the preparation of written plans for progressive career development?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(b) Have special interests been identified and educational opportunities and/or departmental training been afforded the employees?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(c) Has the CHP 120, Individual Development Plan for Future Job Performance of Permanent Employee, been used to identify particular strengths of the employees?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(3) Does the supervisor set a good example?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(a) Does he/she show a willingness to assist subordinate personnel?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(b) Does he/she know when to act, when to delegate, and when to refer to a supervisor?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(4) If there is more than one OSS, is the work and supervision evenly distributed?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
(5) Does the OSS participate in Area staff meetings?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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2	LING SYSTEM	EVALUATED YES	ACTION REQUIRED NO	CORRECTED N/A
a.	Is the Area's filing system in compliance with departmental guidelines contained in HPG 11.1, Field Office File Guide?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
b.	Are other files, i.e., permanent files, enforcement document files, etc., maintained according to policy?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1)	How far back are accident reports being maintained? N/A			
(2)	Is there a filing backlog?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(3)	Is there evidence of recent office review?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4)	How are Management and All Commanders Memorandums filed and purged?			OSS 1 FILES AND UPDATES FOR COMMAND.
(5)	Are Training and Information Bulletins filed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a)	If so, how are they located? IN THE MAIN OFFICE.			
(6)	Do all clerical employees understand the filing system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(7)	Does the Area have an effective suspense system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a)	Do all supervisors take advantage of the suspense system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
	Are personnel files properly secured and access limited?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1)	Are the requirements of the Information Practices Act being followed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2)	Is a periodic review done on a regular basis?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a)	If so, how often? ANNUALLY.			
(3)	Is annual employee review and updating conducted as required?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4)	Are only required or permitted items contained in personnel folders?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
3.	SECURITY OF CRIMINAL RECORDS	EVALUATED YES	ACTION REQUIRED NO	CORRECTED N/A
a.	Have employees who have access to criminal offender record information signed an acknowledgment stating they understand the regulations and policies pertaining to these records?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1)	Has the Area designated a specific person to release criminal offender record information?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a)	Do any other persons release this information? N/A			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(b)	Has the designated person completed the required training?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(c)	Are safeguards in place to verify telephone inquiries prior to disclosure?			<input type="checkbox"/> Yes <input type="checkbox"/> No
(2)	Does each person that is designated to release information maintain a CHP 263B, Criminal Offender Record Information Release Log?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a)	Are entries maintained for the prescribed period of time?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
4	SCAL PROCEDURES	EVALUATED YES	ACTION REQUIRED NO	CORRECTED N/A
a.	Have discrepancies on the most current audit reports been corrected?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

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(1) Are all change fund and collections handled and processed according to policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is there a separation of duties between cashier responsibilities and transmittal of collections?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are collections and change funds safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are checks promptly endorsed and cash receipts reconciled daily?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(f) Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(g) What specific guidelines are in place for security control and accountability?	RECEIPTS AND COLLECTIONS ARE LOCKED IN OSS 1 DESK.	
(h) Is a supervisor responsible for review of the system?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(i) Do total collections agree with the total amount of counter receipts and DL45s issued?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(j) Are counter receipts and transmittal records prepared properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(k) Are surprise counts of funds performed and documented by the commander or designee?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Are security and accountability procedures in place for the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Is the petty cash fund used only for authorized purchases within the limited amount?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are valid authorizations on file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are there adequate procedures to ensure purchases are properly authorized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are surprise counts performed by someone not involved in handling the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Are X-Number services proper and within departmental and state policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are services procured over \$4,999.99?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(b) Is the amount limit circumvented by splitting procurements?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 78X, X-Number Request?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Do invoices itemize charges and reference X-Numbers?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(4) Are bank cards adequately safeguarded, and purchases reviewed by a supervisor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are cardholders familiar with the bank card process, including prohibited and restricted items?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are purchases within established policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 315X?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Is the bank card log completed properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

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(e) Are invoices and CHP 317, CAL-Card Log, reviewed by a supervisor? ☒ Yes ☐ No

(f) Is there a reconciliation of the monthly bank card statement, and does it have supervisory approval? ☒ Yes ☐ No

b. What controls does the commander have in place to ensure timely transmittals of monies? **CURRENT POLICY IS FOLLOWED.**

(1) Are collections sent to Fiscal Management Section at the first occurrence of \$1,000 in cash and \$10,000 total collections, or at the close of business each Thursday? ☒ Yes ☐ No

(2) Are monies received for DL45s, California Special Driver's Certificate, asset forfeiture, reimbursables, evidence, etc., handled appropriately by coordinating transmittal with the Area cashier? **N/A** ☐ Yes ☐ No

(3) Are "no collection" transmittals sent when appropriate? ☒ Yes ☐ No

(4) Do tire sale transactions comply with policy? **N/A** ☐ Yes ☐ No

c. Is security of the postage machine adequate? ☒ Yes ☐ No

(1) Is the machine locked when not in use? ☒ Yes ☐ No

(2) Is the meter reading documented as required? ☒ Yes ☐ No

(3) Is there documentation of monies refunded or forwarded to Fiscal Management Section when the postage machine is being repaired or replaced? **N/A** ☐ Yes ☐ No

5. SUPPLY REQUISITIONS (CHP 41)

N/A
EVALUATED
YES

ACTION REQUIRED
NO

CORRECTED
N/A

a. Are requisitions prepared properly? ☒ Yes ☐ No

(1) Who prepares them? **OSS 1 AND OFFICE ASSISTANT (O/A)**

(2) Has a practical stock level been established and maintained? ☒ Yes ☐ No

(3) Is there a system that notifies the staff when the quarterly requisition is going to be prepared? ☒ Yes ☐ No

(a) Is the quarterly requisition period for this command adhered to? ☒ Yes ☐ No

(b) Is there a high number of emergency requisitions? ☐ Yes ☒ No

b. Are items stored properly in a storeroom? ☒ Yes ☐ No

(1) Is there convenient access for regularly used items? ☒ Yes ☐ No

(2) Have obsolete items been removed? ☒ Yes ☐ No

6. SUPPLIES

EVALUATED
YES

ACTION REQUIRED
NO

CORRECTED
N/A

a. Are all cameras assigned to the command accounted for? ☒ Yes ☐ No

(1) Are camera cases clean and do they contain the required accessories? ☒ Yes ☐ No

(2) Is camera maintenance assigned to a particular individual? ☒ Yes ☐ No

(a) What is his/her preventative maintenance schedule? **CHECKED BIANNUALLY.**

b. Are all extenders assigned to the command accounted for? ☒ Yes ☐ No

(1) Is there adequate security for extender batteries and other supplies?

☒ Yes ☐ No

7. OFFICE EQUIPMENT

EVALUATED
YES

ACTION REQUIRED
NO

CORRECTED
N/A

a. Are office machines in good condition and properly maintained?

☒ Yes ☐ No

(1) Is the vendor complying with maintenance contract provisions?

☒ Yes ☐ No

(2) Is there a shortage or surplus of machines?

☐ Yes ☒ No

b. Is the Management Information System (MIS) used properly?

☒ Yes ☐ No

(1) Who is authorized to use the equipment? **ALL CLERICAL HAVE ACCESS.**

(2) How is training provided, and by whom? **CHP INTRANET.**

(3) Is there a usage schedule for uniformed and nonuniformed personnel?

N/A

☐ Yes ☐ No

(4) Are there controls in place to ensure confidentiality?

☒ Yes ☐ No

(5) Are all personnel aware of how to request repairs after normal business hours?

☒ Yes ☐ No

(6) Is the MIS used to send messages to other offices in lieu of formal memorandums?

☐ Yes ☒ No

(7) What system is used to ensure proper routing of MIS information? **COMMANDER REVIEWS AND ROUTES MIS'S**

Are personal computers used properly?

☒ Yes ☐ No

(1) Who is authorized to use the equipment? **ALL PERSONNEL.**

(2) How is training provided, and by whom? **MOST OF THE NEW EMPLOYEES WHICH ARE NON-UNIFORMED ARE TRAINED BY MORE SENIOR EMPLOYEES.**

(a) How many employees are trained in its use? **ALL**

(3) Are there restrictions on the time its used?

☐ Yes ☒ No

(a) Is there a schedule for uniformed and nonuniformed employees?

☐ Yes ☒ No

(4) Is confidential or sensitive information being stored on a PC hard drive?

☒ Yes ☐ No

(a) If so, is the PC password protected?

☒ Yes ☐ No

(b) Is confidential or sensitive information stored on disks, CDs, or removable drives kept in a secure area?

☒ Yes ☐ No

(5) What is the PC being used for? **INSPECTIONS, TYPING DATA ENTRY, ETC.**

(6) Are controls present to prevent inappropriate/personal use of the computer?

☒ Yes ☐ No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

(7) Are backup procedures being performed on a regular basis? ☒ Yes ☐ No

(a) Where applicable, are backup disks stored in a secure area? ☒ Yes ☐ No

(8) Are PC manuals and other documentation available to all users? ☒ Yes ☐ No

(9) What procedures are in place to ensure out-of-date documents and files are purged? **THE CHP RETENTION LIST IS FOLLOWED.**

(10) Are employees aware of the availability of assistance in resolving computer related problems? ☒ Yes ☐ No

(11) Is anti-virus software regularly utilized on all state-owned PCs? ☒ Yes ☐ No

8. PUBLIC CONTACTS

EVALUATED
YES

ACTION REQUIRED
NO

CORRECTED
N/A

a. Does the office have extended office hours? ☐ Yes ☒ No

(1) If so, are they adequate and effective? *N/A* ☐ Yes ☐ No

b. Are persons served promptly and courteously? ☒ Yes ☐ No

(1) Are backup personnel immediately available? ☒ Yes ☐ No

(2) Is telephone service both efficient and effective? ☒ Yes ☐ No

(3) Are limited duty personnel used for receptionist duties and answering telephones? ☒ Yes ☐ No

(4) Are officer substitutions for nonuniformed positions kept at a minimum? ☒ Yes ☐ No

9. SCHOOL BUS DRIVER EXAMINATIONS

EVALUATED
YES

ACTION REQUIRED
NO

CORRECTED
N/A

a. Is school bus driver testing a special duty or a clerical function, or is a full-time school bus coordinator assigned?

(1) Are tests and test keys kept in a secure place? ☐ Yes ☐ No

(2) How are interested parties advised of testing procedures?

(a) Are exams graded in the presence of the applicant, and missed questions discussed? ☐ Yes ☐ No

(b) Does the officer or coordinator take possession of the test and dispose of accordingly? ☐ Yes ☐ No

(3) How are test disposed of?

(4) Is there a specific date and time set aside for testing? ☐ Yes ☐ No

10. COURT INFORMATION PROCEDURES

EVALUATED
YES

ACTION REQUIRED
NO

CORRECTED
N/A

a. Is there a systematic method of coordinating court appearance matters? ☒ Yes ☐ No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

(1) What controls are in place to ensure officers appear in court? **SUBPOENA'S ARE SERVED AND 415'S ARE CHECKED TO VERIFY ATTENDANCE. IF THERE ARE DISCREPANCIES, THE SGT'S AND COMMANDER ARE NOTIFIED.**

(a) How are appearances minimized following cancellations? **NOTIFICATION BY TELEPHONE IS DONE IMMEDIATELY.**

(b) How are "short notice" cancellations minimized? **IMMEDIATE NOTIFICATION TO THE OFFICER.**

(2) Are CHP 90s, Report of Court Appearance - Civil Action, properly distributed and completed on all appropriate cases? ☒ Yes ☐ No

(3) Who is responsible for managing the process? **O/A**

(a) Are court officers performing duties that could be handled by clerical personnel? ☐ Yes ☒ No

11. DEPARTMENTAL MANUALS

EVALUATED
YES

ACTION REQUIRED
NO

CORRECTED
N/A

Are the number of authorized libraries being maintained? ☒ Yes ☐ No

(1) Are the libraries convenient for those who must use them? ☒ Yes ☐ No

(a) What controls are in place for "loaning" manuals to employees? **BORROWED MANUALS ARE NOTED BY OSS I**

(2) Are publications distinctively marked so they can be readily identified? ☒ Yes ☐ No

(a) Are the number of libraries excessive or sufficient? **SUFFICIENT.**

(b) Is there a listing available of what should be in each library? ☒ Yes ☐ No

(3) Are publications kept up-to-date? ☒ Yes ☐ No

(4) Who files publication changes? **OSS I.**

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

AREA Baldwin Park/525	DIVISION Southern	NUMBER
EVALUATED BY J. Kolstad #16434		DATE 07/15/2008

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION <input checked="" type="checkbox"/> Formal Evaluation <input type="checkbox"/> Informal Evaluation		SUSPENSE DATE	
FOLLOW-UP REQUIRED <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		BY _____	
<input type="checkbox"/> Correction Report		COMMANDER'S REVIEW	DATE

1. CLERICAL TASKS

	EVALUATED Yes	ACTION REQUIRED Yes	CORRECTED Yes
a. Is the office well organized?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(1) Are there written job descriptions?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(a) Does clerical staff have their job description at their desk?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(b) Does clerical staff understand what is expected of them?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(2) Are similar activities grouped together to promote efficiency?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(3) If tape recorders are used, can clerical employees transcribe effectively?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(4) Is the clerical staff knowledgeable in the use of personal computers, filing requirements, information security, etc.?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(5) Can another clerical employee assume the duties of a clerical employee who is absent?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Is the Office Services Supervisor (OSS) effective?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(1) Does he/she properly apply management philosophies and supervisory skills?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(a) Does he/she have the authority and backing necessary to effectively supervise subordinates?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(b) Is the clerical supervisor an effective manager?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(2) Does the OSS identify employees with supervisory potential?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(a) Does he/she assist employees in the preparation of written plans for progressive career development?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
(b) Have special interests been identified and educational opportunities and/or departmental training been afforded the employees?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(c) Has the CHP 120, Individual Development Plan for Future Job Performance of Permanent Employee, been used to identify particular strengths of the employees?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
(3) Does the supervisor set a good example?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(a) Does he/she show a willingness to assist subordinate personnel?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(b) Does he/she know when to act, when to delegate, and when to refer to a supervisor?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(4) If there is more than one OSS, is the work and supervision evenly distributed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(5) Does the OSS participate in Area staff meetings?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

LING SYSTEM	EVALUATED Yes	ACTION REQUIRED No	CORRECTED
a. Is the Area's filing system in compliance with departmental guidelines contained in HPG 11.1, Field Office File Guide?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
b. Are other files, i.e., permanent files, enforcement document files, etc., maintained according to policy?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) How far back are accident reports being maintained? a rotating 48 months			
(2) Is there a filing backlog?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(3) Is there evidence of recent office review?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) How are Management and All Commanders Memorandums filed and purged? They are kept in the Administrative Lt.'s office and are updated and purged by the Administrative Sgt.			
(5) Are Training and Information Bulletins filed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) If so, how are they located? See #4.			
(6) Do all clerical employees understand the filing system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(7) Does the Area have an effective suspense system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Do all supervisors take advantage of the suspense system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Are personnel files properly secured and access limited?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Are the requirements of the Information Practices Act being followed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Is a periodic review done on a regular basis?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) If so, how often? A thorough review is done annually. An additional review is done bi-annually.			
(3) Is annual employee review and updating conducted as required?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) Are only required or permitted items contained in personnel folders?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
3. SECURITY OF CRIMINAL RECORDS	EVALUATED Yes	ACTION REQUIRED No	CORRECTED
a. Have employees who have access to criminal offender record information signed an acknowledgment stating they understand the regulations and policies pertaining to these records?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Has the Area designated a specific person to release criminal offender record information?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Do any other persons release this information?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(b) Has the designated person completed the required training?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(c) Are safeguards in place to verify telephone inquiries prior to disclosure?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Does each person that is designated to release information maintain a CHP 263B, Criminal Offender Record Information Release Log?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Are entries maintained for the prescribed period of time?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
4. SCAL PROCEDURES	EVALUATED Yes	ACTION REQUIRED No	CORRECTED
a. Have discrepancies on the most current audit reports been corrected?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

- | | | |
|--|--|--|
| (1) Are all change fund and collections handled and processed according to policy? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |
| (a) Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |
| (b) Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |
| (c) Is there a separation of duties between cashier responsibilities and transmittal of collections? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |
| (d) Are collections and change funds safeguarded? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |
| (e) Are checks promptly endorsed and cash receipts reconciled daily? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |
| (f) Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |
| (g) What specific guidelines are in place for security control and accountability? | The Area Commander and OSS participate in random surprise audits which ensure accuracy and accountability. | |
| (h) Is a supervisor responsible for review of the system? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |
| (i) Do total collections agree with the total amount of counter receipts and DL45s issued? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |
| (j) Are counter receipts and transmittal records prepared properly? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |
| (k) Are surprise counts of funds performed and documented by the commander or designee? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |
| (2) Are security and accountability procedures in place for the petty cash fund? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |
| (a) Is the petty cash fund used only for authorized purchases within the limited amount? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |
| (b) Are valid authorizations on file? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |
| (c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |
| (d) Are there adequate procedures to ensure purchases are properly authorized? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |
| (e) Are surprise counts performed by someone not involved in handling the petty cash fund? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |
| (3) Are X-Number services proper and within departmental and state policy? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |
| (a) Are services procured over \$4,999.99? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No |
| (b) Is the amount limit circumvented by splitting procurements? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No |
| (c) Are three price quotations obtained and documented on a CHP 78X, X-Number Request? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |
| (d) Do invoices itemize charges and reference X-Numbers? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |
| (4) Are bank cards adequately safeguarded, and purchases reviewed by a supervisor? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |
| (a) Are cardholders familiar with the bank card process, including prohibited and restricted items? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |
| (b) Are purchases within established policy? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |
| (c) Are three price quotations obtained and documented on a CHP 315X? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |
| (d) Is the bank card log completed properly? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

(e) Are invoices and CHP 317, CAL-Card Log, reviewed by a supervisor? ☒ Yes ☐ No

(f) Is there a reconciliation of the monthly bank card statement, and does it have supervisory approval? ☒ Yes ☐ No

b. What controls does the commander have in place to ensure timely transmittals of monies? **An officer has been tasked with auditing this process. The OSS does surprise audits of the quarterly and weekly transmittals and keeps a written record of the audits.**

(1) Are collections sent to Fiscal Management Section at the first occurrence of \$1,000 in cash and \$10,000 total collections, or at the close of business each Thursday? ☒ Yes ☐ No

(2) Are monies received for DL45s, California Special Driver's Certificate, asset forfeiture, reimbursables, evidence, etc., handled appropriately by coordinating transmittal with the Area cashier? ☒ Yes ☐ No

(3) Are "no collection" transmittals sent when appropriate? ☒ Yes ☐ No

(4) Do tire sale transactions comply with policy? ☒ Yes ☐ No

c. Is security of the postage machine adequate? ☒ Yes ☐ No

(1) Is the machine locked when not in use? ☒ Yes ☐ No

(2) Is the meter reading documented as required? ☒ Yes ☐ No

(3) Is there documentation of monies refunded or forwarded to Fiscal Management Section when the postage machine is being repaired or replaced? ☒ Yes ☐ No

5. SUPPLY REQUISITIONS (CHP 41)

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Are requisitions prepared properly? ☒ Yes ☐ No

(1) Who prepares them? **Chris Finn the Office Asst.**

(2) Has a practical stock level been established and maintained? ☒ Yes ☐ No

(3) Is there a system that notifies the staff when the quarterly requisition is going to be prepared? ☒ Yes ☐ No

(a) Is the quarterly requisition period for this command adhered to? ☒ Yes ☐ No

(b) Is there a high number of emergency requisitions? ☐ Yes ☒ No

b. Are items stored properly in a storeroom? ☒ Yes ☐ No

(1) Is there convenient access for regularly used items? ☒ Yes ☐ No

(2) Have obsolete items been removed? ☒ Yes ☐ No

6. SUPPLIES

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Are all cameras assigned to the command accounted for? ☒ Yes ☐ No

(1) Are camera cases clean and do they contain the required accessories? ☒ Yes ☐ No

(2) Is camera maintenance assigned to a particular individual? ☒ Yes ☐ No

(a) What is his/her preventative maintenance schedule? **Cameras are checked on a monthly basis. If any maintenance is required it is scheduled and completed.**

b. Are all extenders assigned to the command accounted for? ☒ Yes ☐ No

AREA MANAGEMENT EVALUATION
OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

(1) Is there adequate security for extender batteries and other supplies?

☒ Yes ☐ No

7. OFFICE EQUIPMENT

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Are office machines in good condition and properly maintained?

☒ Yes ☐ No

(1) Is the vendor complying with maintenance contract provisions?

☒ Yes ☐ No

(2) Is there a shortage or surplus of machines?

☐ Yes ☒ No

b. Is the Management Information System (MIS) used properly?

☒ Yes ☐ No

(1) Who is authorized to use the equipment? There are 3 clerks and the OSS who are authorized to use the MIS. MISs are distributed and written in accordance with departmental policy and it is supervised by Area Management.

(2) How is training provided, and by whom? The OSS provides training on an as-needed basis.

(3) Is there a usage schedule for uniformed and nonuniformed personnel?

☐ Yes ☐ No

(4) Are there controls in place to ensure confidentiality?

☒ Yes ☐ No

(5) Are all personnel aware of how to request repairs after normal business hours?

☒ Yes ☐ No

(6) Is the MIS used to send messages to other offices in lieu of formal memorandums?

☐ Yes ☒ No

(7) What system is used to ensure proper routing of MIS information? via the recall procedure from MIS. Commander supervises.

Are personal computers used properly?

☐ Yes ☐ No

(1) Who is authorized to use the equipment?

(2) How is training provided, and by whom?

(a) How many employees are trained in its use?

(3) Are there restrictions on the time its used?

☐ Yes ☐ No

(a) Is there a schedule for uniformed and nonuniformed employees?

☐ Yes ☐ No

(4) Is confidential or sensitive information being stored on a PC hard drive?

☐ Yes ☐ No

(a) If so, is the PC password protected?

☐ Yes ☐ No

(b) Is confidential or sensitive information stored on disks, CDs, or removable drives kept in a secure area?

☐ Yes ☐ No

(5) What is the PC being used for?

(6) Are controls present to prevent inappropriate/personal use of the computer?

☐ Yes ☐ No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

(7) Are backup procedures being performed on a regular basis?

☐ Yes ☐ No

(a) Where applicable, are backup disks stored in a secure area?

☐ Yes ☐ No

(8) Are PC manuals and other documentation available to all users?

☐ Yes ☐ No

(9) What procedures are in place to ensure out-of-date documents and files are purged?

Out of date documents and files are

purged by the OSS and the Admin. Sgt.

(10) Are employees aware of the availability of assistance in resolving computer related problems?

☒ Yes ☐ No

(11) Is anti-virus software regularly utilized on all state-owned PCs?

☒ Yes ☐ No

8. PUBLIC CONTACTS

EVALUATED

Yes

ACTION REQUIRED

No

CORRECTED

a. Does the office have extended office hours?

☐ Yes ☒ No

(1) If so, are they adequate and effective?

☐ Yes ☐ No

b. Are persons served promptly and courteously?

☒ Yes ☐ No

(1) Are backup personnel immediately available?

☒ Yes ☐ No

(2) Is telephone service both efficient and effective?

☒ Yes ☐ No

(3) Are limited duty personnel used for receptionist duties and answering telephones?

☒ Yes ☐ No

(4) Are officer substitutions for nonuniformed positions kept at a minimum?

☒ Yes ☐ No

9. SCHOOL BUS DRIVER EXAMINATIONS

EVALUATED

Yes

ACTION REQUIRED

No

CORRECTED

a. Is school bus driver testing a special duty or a clerical function, or is a full-time school bus coordinator assigned? Officer Michelle Dobbs

(1) Are tests and test keys kept in a secure place?

☒ Yes ☐ No

(2) How are interested parties advised of testing procedures?

Testing is done weekly and participants are advised by the school

bus companies.

(a) Are exams graded in the presence of the applicant, and missed questions discussed?

☒ Yes ☐ No

(b) Does the officer or coordinator take possession of the test and dispose of accordingly?

☒ Yes ☐ No

(3) How are test disposed of? Shredded

(4) Is there a specific date and time set aside for testing?

☒ Yes ☐ No

10. COURT INFORMATION PROCEDURES

EVALUATED

Yes

ACTION REQUIRED

No

CORRECTED

a. Is there a systematic method of coordinating court appearance matters?

☒ Yes ☐ No

AREA MANAGEMENT EVALUATION
OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

(1) What controls are in place to ensure officers appear in court? **A log is kept and the court advises if an officer misses their scheduled court appearances.**

(a) How are appearances minimized following cancellations? **Officers are called directly.**

(b) How are "short notice" cancellations minimized? **Officers are called directly.**

(2) Are CHP 90s, Report of Court Appearance - Civil Action, properly distributed and completed on all appropriate cases? ☒ Yes ☐ No

(3) Who is responsible for managing the process? **The court officers, Officers Walter and Faranen.**

(a) Are court officers performing duties that could be handled by clerical personnel? ☐ Yes ☒ No

11. DEPARTMENTAL MANUALS

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

Are the number of authorized libraries being maintained? ☒ Yes ☐ No

(1) Are the libraries convenient for those who must use them? ☒ Yes ☐ No

(a) What controls are in place for "loaning" manuals to employees? **Manuals are not loaned from the library. Manuals are available on the CHP intranet. Manuals that are consistently used on a regular basis have extra copies that are kept by the training officer and sgt.**

(2) Are publications distinctively marked so they can be readily identified? ☒ Yes ☐ No

(a) Are the number of libraries excessive or sufficient? **sufficient**

(b) Is there a listing available of what should be in each library? ☒ Yes ☐ No

(3) Are publications kept up-to-date? ☒ Yes ☐ No

(4) Who files publication changes? **Sgt. Dean Trujillo is tasked with this responsibility.**

See attached for explanations.

AREA MANAGEMENT EVALUATION**OFFICE MANAGEMENT**

CHP 453E (Rev. 5-06) OPI 009

AREA Antelope Valley/545	DIVISION Southern Division	NUMBER
EVALUATED BY J. Kolstad #16434		DATE 07/22/2008

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION <input checked="" type="checkbox"/> Formal Evaluation <input type="checkbox"/> Informal Evaluation		SUSPENSE DATE	
FOLLOW-UP REQUIRED <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		BY _____	
<input type="checkbox"/> Correction Report		COMMANDER'S REVIEW	DATE

1. CLERICAL TASKS

EVALUATED Yes	ACTION REQUIRED No	CORRECTED
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a. Is the office well organized? ☒ Yes ☐ No(1) Are there written job descriptions? ☒ Yes ☐ No(a) Does clerical staff have their job description at their desk? ☒ Yes ☐ No(b) Does clerical staff understand what is expected of them? ☒ Yes ☐ No(2) Are similar activities grouped together to promote efficiency? ☒ Yes ☐ No(3) If tape recorders are used, can clerical employees transcribe effectively? ☒ Yes ☐ No(4) Is the clerical staff knowledgeable in the use of personal computers, filing requirements, information security, etc.? ☒ Yes ☐ No(5) Can another clerical employee assume the duties of a clerical employee who is absent? ☒ Yes ☐ Nob. Is the Office Services Supervisor (OSS) effective? ☒ Yes ☐ No(1) Does he/she properly apply management philosophies and supervisory skills? ☒ Yes ☐ No(a) Does he/she have the authority and backing necessary to effectively supervise subordinates? ☒ Yes ☐ No(b) Is the clerical supervisor an effective manager? ☒ Yes ☐ No(2) Does the OSS identify employees with supervisory potential? ☒ Yes ☐ No(a) Does he/she assist employees in the preparation of written plans for progressive career development? ☒ Yes ☐ No(b) Have special interests been identified and educational opportunities and/or departmental training been afforded the employees? ☒ Yes ☐ No(c) Has the CHP 120, Individual Development Plan for Future Job Performance of Permanent Employee, been used to identify particular strengths of the employees? ☐ Yes ☒ No(3) Does the supervisor set a good example? ☒ Yes ☐ No(a) Does he/she show a willingness to assist subordinate personnel? ☒ Yes ☐ No(b) Does he/she know when to act, when to delegate, and when to refer to a supervisor? ☒ Yes ☐ No(4) If there is more than one OSS, is the work and supervision evenly distributed? ☐ Yes ☒ No(5) Does the OSS participate in Area staff meetings? ☒ Yes ☐ No

AREA MANAGEMENT EVALUATION

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LING SYSTEM	EVALUATED Yes	ACTION REQUIRED No	CORRECTED
a. Is the Area's filing system in compliance with departmental guidelines contained in HPG 11.1, Field Office File Guide?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
b. Are other files, i.e., permanent files, enforcement document files, etc., maintained according to policy?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) How far back are accident reports being maintained? 48 mos. rotating. Exceptions for MAIT, Felony H&R and fatals.			
(2) Is there a filing backlog?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(3) Is there evidence of recent office review?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) How are Management and All Commanders Memorandums filed and purged? Office Assistant in accordance with departmental policy.		They are filed into the Area library by the	
(5) Are Training and Information Bulletins filed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) If so, how are they located? Yes, see #4.			
(6) Do all clerical employees understand the filing system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(7) Does the Area have an effective suspense system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Do all supervisors take advantage of the suspense system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Are personnel files properly secured and access limited?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Are the requirements of the Information Practices Act being followed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Is a periodic review done on a regular basis?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) If so, how often? Weekly review is completed by the OSS-I and an annual review is completed by the OSS-I and the Lt.			
(3) Is annual employee review and updating conducted as required?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) Are only required or permitted items contained in personnel folders?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
3. SECURITY OF CRIMINAL RECORDS	EVALUATED Yes	ACTION REQUIRED No	CORRECTED
a. Have employees who have access to criminal offender record information signed an acknowledgment stating they understand the regulations and policies pertaining to these records?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Has the Area designated a specific person to release criminal offender record information?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Do any other persons release this information?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(b) Has the designated person completed the required training?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(c) Are safeguards in place to verify telephone inquiries prior to disclosure?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Does each person that is designated to release information maintain a CHP 263B, Criminal Offender Record Information Release Log?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Are entries maintained for the prescribed period of time?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
4. SCAL PROCEDURES	EVALUATED Yes	ACTION REQUIRED No	CORRECTED
a. Have discrepancies on the most current audit reports been corrected?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

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(1) Are all change fund and collections handled and processed according to policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is there a separation of duties between cashier responsibilities and transmittal of collections?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are collections and change funds safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are checks promptly endorsed and cash receipts reconciled daily?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(f) Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(g) What specific guidelines are in place for security control and accountability?	There is a daily reconciliation at 1700 hours. They are kept in a locked box in a locked filing cabinet within the office. The OSS-I and the Captain do audits and surprise counts to ensure accountability.	
(h) Is a supervisor responsible for review of the system?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(i) Do total collections agree with the total amount of counter receipts and DL45s issued?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(j) Are counter receipts and transmittal records prepared properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(k) Are surprise counts of funds performed and documented by the commander or designee?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Are security and accountability procedures in place for the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Is the petty cash fund used only for authorized purchases within the limited amount?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are valid authorizations on file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are there adequate procedures to ensure purchases are properly authorized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are surprise counts performed by someone not involved in handling the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Are X-Number services proper and within departmental and state policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are services procured over \$4,999.99?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(b) Is the amount limit circumvented by splitting procurements?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 78X, X-Number Request?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Do invoices itemize charges and reference X-Numbers?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(4) Are bank cards adequately safeguarded, and purchases reviewed by a supervisor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are cardholders familiar with the bank card process, including prohibited and restricted items?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are purchases within established policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 315X?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Is the bank card log completed properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

AREA MANAGEMENT EVALUATION

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(e) Are invoices and CHP 317, CAL-Card Log, reviewed by a supervisor? ☒ Yes ☐ No

(f) Is there a reconciliation of the monthly bank card statement, and does it have supervisory approval? ☒ Yes ☐ No

b. What controls does the commander have in place to ensure timely transmittals of monies? **They are sent as required on a weekly/monthly basis. There is a quarterly audit performed by the Captain, as well as random checks to ensure accuracy.**

(1) Are collections sent to Fiscal Management Section at the first occurrence of \$1,000 in cash and \$10,000 total collections, or at the close of business each Thursday? ☒ Yes ☐ No

(2) Are monies received for DL45s, California Special Driver's Certificate, asset forfeiture, reimbursables, evidence, etc., handled appropriately by coordinating transmittal with the Area cashier? ☒ Yes ☐ No

(3) Are "no collection" transmittals sent when appropriate? ☒ Yes ☐ No

(4) Do tire sale transactions comply with policy? ☒ Yes ☐ No

c. Is security of the postage machine adequate? ☒ Yes ☐ No

(1) Is the machine locked when not in use? ☒ Yes ☐ No

(2) Is the meter reading documented as required? ☒ Yes ☐ No

(3) Is there documentation of monies refunded or forwarded to Fiscal Management Section when the postage machine is being repaired or replaced? ☒ Yes ☐ No

5. SUPPLY REQUISITIONS (CHP 41)

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Are requisitions prepared properly? ☒ Yes ☐ No

(1) Who prepares them? **The Office Assistant, Virginia Porchia**

(2) Has a practical stock level been established and maintained? ☒ Yes ☐ No

(3) Is there a system that notifies the staff when the quarterly requisition is going to be prepared? ☒ Yes ☐ No

(a) Is the quarterly requisition period for this command adhered to? ☒ Yes ☐ No

(b) Is there a high number of emergency requisitions? ☐ Yes ☒ No

b. Are items stored properly in a storeroom? ☒ Yes ☐ No

(1) Is there convenient access for regularly used items? ☒ Yes ☐ No

(2) Have obsolete items been removed? ☒ Yes ☐ No

6. SUPPLIES

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Are all cameras assigned to the command accounted for? ☒ Yes ☐ No

(1) Are camera cases clean and do they contain the required accessories? ☒ Yes ☐ No

(2) Is camera maintenance assigned to a particular individual? ☒ Yes ☐ No

(a) What is his/her preventative maintenance schedule? **The inventory officer and administrative sergeant are responsible for the maintenance of the cameras.**

b. Are all extenders assigned to the command accounted for? ☒ Yes ☐ No

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(1) Is there adequate security for extender batteries and other supplies?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
7. OFFICE EQUIPMENT	EVALUATED Yes	ACTION REQUIRED No	CORRECTED
a. Are office machines in good condition and properly maintained?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Is the vendor complying with maintenance contract provisions?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Is there a shortage or surplus of machines?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
b. Is the Management Information System (MIS) used properly?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Who is authorized to use the equipment? Everyone in the clerical unit has received training and is proficient in its use.			
(2) How is training provided, and by whom? There is on-line training and the OSS-I can provide additional assistance.			
(3) Is there a usage schedule for uniformed and nonuniformed personnel?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(4) Are there controls in place to ensure confidentiality?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(5) Are all personnel aware of how to request repairs after normal business hours?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(6) Is the MIS used to send messages to other offices in lieu of formal memorandums?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(7) What system is used to ensure proper routing of MIS information? The OSS-I and Lt. oversee the process.			
Are personal computers used properly?		N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No
(1) Who is authorized to use the equipment? Personal computers are not used by any of the clerical personnel.			
(2) How is training provided, and by whom?			
(a) How many employees are trained in its use?			
(3) Are there restrictions on the time its used?		<input type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Is there a schedule for uniformed and nonuniformed employees?		<input type="checkbox"/> Yes	<input type="checkbox"/> No
(4) Is confidential or sensitive information being stored on a PC hard drive?		<input type="checkbox"/> Yes	<input type="checkbox"/> No
(a) If so, is the PC password protected?		<input type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Is confidential or sensitive information stored on disks, CDs, or removable drives kept in a secure area?		<input type="checkbox"/> Yes	<input type="checkbox"/> No
(5) What is the PC being used for?			
(6) Are controls present to prevent inappropriate/personal use of the computer?		<input type="checkbox"/> Yes	<input type="checkbox"/> No

AREA MANAGEMENT EVALUATION**OFFICE MANAGEMENT**

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(7) Are backup procedures being performed on a regular basis?

☐ Yes☐ No

(a) Where applicable, are backup disks stored in a secure area?

☐ Yes☐ No

(8) Are PC manuals and other documentation available to all users?

☐ Yes☐ No

(9) What procedures are in place to ensure out-of-date documents and files are purged?

(10) Are employees aware of the availability of assistance in resolving computer related problems?

☒ Yes☐ No

(11) Is anti-virus software regularly utilized on all state-owned PCs?

☒ Yes☐ No**8. PUBLIC CONTACTS**

EVALUATED

Yes

ACTION REQUIRED

No

CORRECTED

a. Does the office have extended office hours?

☐ Yes☒ No

(1) If so, are they adequate and effective?

N/A

☐ Yes☐ No

b. Are persons served promptly and courteously?

☒ Yes☐ No

(1) Are backup personnel immediately available?

☒ Yes☐ No

(2) Is telephone service both efficient and effective?

☒ Yes☐ No

(3) Are limited duty personnel used for receptionist duties and answering telephones?

☒ Yes☐ No

(4) Are officer substitutions for nonuniformed positions kept at a minimum?

☒ Yes☐ No**9. SCHOOL BUS DRIVER EXAMINATIONS**

EVALUATED

Yes

ACTION REQUIRED

No

CORRECTED

a. Is school bus driver testing a special duty or a clerical function, or is a full-time school bus coordinator assigned? **Officer Ruiz is the full-time coordinator**

(1) Are tests and test keys kept in a secure place?

☒ Yes☐ No(2) How are interested parties advised of testing procedures? **They are advised by the school bus companies or by the officer if they come in to the office and ask.**

(a) Are exams graded in the presence of the applicant, and missed questions discussed?

☒ Yes☐ No

(b) Does the officer or coordinator take possession of the test and dispose of accordingly?

☒ Yes☐ No(3) How are test disposed of? **shredded**

(4) Is there a specific date and time set aside for testing?

☒ Yes☐ No**1. COURT INFORMATION PROCEDURES**

EVALUATED

Yes

ACTION REQUIRED

No

CORRECTED

a. Is there a systematic method of coordinating court appearance matters?

☒ Yes☐ No

AREA MANAGEMENT EVALUATION

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(1) What controls are in place to ensure officers appear in court? The Office Assistant, C. Chandler, keeps a log of all the subpoenas. She forwards them to the shift sgts. for signature by the officer. If a subpoena is cancelled she notifies the officer by phone and makes an entry in her log. Court Officer J. Nelson assists with the notifications.

(a) How are appearances minimized following cancellations? See above.

(b) How are "short notice" cancellations minimized? See above.

(2) Are CHP 90s, Report of Court Appearance - Civil Action, properly distributed and completed on all appropriate cases? ☒ Yes ☐ No

(3) Who is responsible for managing the process? There is a suspense system in place with a written log. See #1.

(a) Are court officers performing duties that could be handled by clerical personnel? ☐ Yes ☒ No

11. DEPARTMENTAL MANUALS

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

Are the number of authorized libraries being maintained? ☒ Yes ☐ No

(1) Are the libraries convenient for those who must use them? ☒ Yes ☐ No

(a) What controls are in place for "loaning" manuals to employees? check-out cards

(2) Are publications distinctively marked so they can be readily identified? ☒ Yes ☐ No

(a) Are the number of libraries excessive or sufficient? Sufficient

(b) Is there a listing available of what should be in each library? ☒ Yes ☐ No

(3) Are publications kept up-to-date? ☒ Yes ☐ No

(4) Who files publication changes? Either the OSS-I or one of the O.A.s will file the update.